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ABSTRACT

The origin and development of Project NewGate are described from 1971-74. (The project presents a model program of higher education for incarcerated offenders, consisting of the in-prison phase, transitional phase, and release phase.) Specific project characteristics are discussed and include a 4-year academic program for prison inmates; an in-prison component which offers a full-time, fully accredited academic program; therapy; career, academic, and personal counseling services; a transitional phase (school release, school furlough, early parole) which enables the inside-program participant to transfer his program to the college campus intact with therapy and counseling services as well as full financial support; a release phase (parole or discharge) offering continued services and full or partial financial support as needed; and NewGate staff (director and counselors), who maintain a neutral administration concept separate from prison and university financial control. Evidence from the literature is offered as support for this type of correctional treatment approach. Other areas discussed are the growth of prison higher education programs and the objectives of the NewGate Resource Center. A final section (21 pages) discusses problems confronting the development of new programs based on the NewGate demonstration model and is titled "The NewGate Resource Center: Issues Faced by the NewGate Expert as Change Agent in the Replication of the NewGate Demonstration Programs." (TA)

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The History and Development of Project NewGate

A Program of Post-Secondary Education for

Incarcerated Offenders

(Background information providing the basis for development of the NewGate Resource Center)

A Brief History of Offender Education in the American Correctional System

The concept of education as a means of reforming and rehabilitating the offender is by no means new to the field of American correction. The offender had long been viewed not only as a moral degenerant, but as intellectually, psychologically and vocationally defficient as well. Education in its most basic sense (reading, writing, simple skills) was seen as a means of overcoming these deficiencies.

With the growth of the industrial society in the nineteenth century, the need for skilled workers increased and education became--not only for the general public but also for those incarcerated--a basic right. And yet for many years this right was denied the offender. Austin MacCormick, who did much to advance high school education in prisons, surveying education in American prisons in 1927-28 did not discover a single complete and well-rounded ecucational program. He stated:

> "...If we believe in the beneficial effect of education on man in general we must believe in it for this particular group (offenders) which differs less than the layman thinks from the ordinary run of humanity. If on no other grounds than a general resolve to offer educational opportunities to undereducated persons wherever they may be found, we recognize that our penal population constitutes a proper field for educational effort. In brief, we are not ready to make its efficacy in turning men from crime the only criterion in judging the value of education for prisoners." 1

It was not until the post World War II era, however, that prison education programs became widespread. This use in prison education programs

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1. Austin MacCormick, The Education of Adult Prisoners, N.Y., The National Society of Penal Information, 1931, p. 3.

accompanied a new concept of the criminal. He came to be viewed as a pathological being--that is, one who suffers from problems or diseases (usually emotional) which must be cured. An additional assumption was that there is no one pathology which causes crime but many. Each criminal type, therefore, must be subjected to a specialized rehabilitation routine. In effect, in those prison systems which implemented this new rehabilitative ideology, this resulted in considerable experimentation with various programs. Educational programs, including those which offered college-level work, were among these.

The first college program of live education in a prison was introduced in 1953 by Delyte Morris, president of Southern Illinois University. The rationale behind this program was expressed by Dr. Morris:

> "Such academic education in prison is supposed to advance rehabilitation. Through improved skill in communication, the offender presumably will be able to reveal and express underlying misunderstandings and conflicts which have caused his deviant behavior. The student prisoner will be able to comprehend more fully his personal problems and his relationship with other persons. His leisure time will be used more constructively during and after his confinement. Through better understanding of government and society he will be moved toward responsible citizenship." [2]

The concept grew and within the next fifteen years there were approximately eighteen college programs throughout the country which offered live instruction within the prison as well as twenty-seven prison systems which offered courses by correspondence and three by closed-circuit television.[3]

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2. Delyte Morris, "The University's Role in Prison Education," Nebraska Law Review, Vol. 45, 1966, pp. 31-45.

3. Stuart Adams, "College-Level Instruction in U.S. Prisons," School of Criminology, University of California, 1968.

In the sixties yet another perspective on criminality was offered. This new perspective saw the criminal as disadvantaged or culturally and socially deprived--implying that criminal behavior is intimately related to socio-economic problems. Here, he is seen as disadvantaged because of a lifetime of denied access to those societal structures in which the significant rewards of society are distributed. He may have been raised in an atmosphere where crime and deviant behavior are an accepted way of life and where legitimate opportunities are closed to him.[4]

Project NewGate: Its Origin and Development

In 1967 Thomas E. Gaddis introduced into the Oregon State Prison a new concept of college-level education which was a direct reflection of the "disadvantaged" view of the offender. The concept grew out of the national Upward Bound Program sponsored by the Office of Economic Opportunity (OEO) in an attempt to prepare educationally and economically disadvantaged youths from lower economic strata for college entrance. The program proposed accomplishing this by involving youths in an accelerated educational enrichment program--the basic premise being that some youths within society, because of their membership in certain classes or ethnic groups, have not had the opportunity to develop the skills and motivation for entrance to higher educational systems and thus are denied access to educational and occupational structures later in life.

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4. For an in-depth view of socio-economic factors of delinquency, see the theories of Richard Cloward, Robert Merton, Donald Cressey, and Edwin Sutherland.

The new prison college education program, at that time called "Upward Bound Oregon Prison Project" (UBOPP), was later to expand into what is now known as Project NewGate. How this expansion and change of name came about will be discussed in greater detail later in this section.

As it was conceived, however, this new program was revolutionary in several ways. As proposed by Gaddis UBOPP aimed to achieve

> "...inmate regeneration (the term "rehabilitation" being consciously avoided) and change in self-concept through skilled group dynamics personnel and effectively presented subject matter to disadvantaged and deviant people."

This Concept is based on the assumption that a

> "...neutral education system (a system which although subject to the regulations of the prison, is not under their financial or policy control) can be placed in a symbiotic relationship with a total social system (prison) without significant loss of controls, and that the enrolled individuals can make permanent and significant gains which will ameliorate the deprivation quotient of the entire host system which is in the position of tolerating those innovations."

Funded through a grant from OEO, the program was implemented at the Oregon State Penitentiary in July, 1967 with an enrollment of fifty full-time students and a staff of nine.

The idea was to introduce--as far as was practically possible--a "college-like" atmosphere into the prison. Selected courses were offered

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5. Thomas E. Gaddis, "A Demonstration Project for the Education of Disadvantaged Inmate Students of a Maximum Security Penitentiary." Upward Bound Oregon Prison Project Proposal, Portland, Oregon; Oregon Division of Continuing Education, March, 1967, p. 1.

6. Gaddis, P. 4.

under auspices of the University of Portland--the grant receivor and sponsoring institution of higher learning. Courses were presented as small informal seminars in the hope of maximizing individual participation. This participation was seen to increase the inmates motivation and otherwise provide more opportunities for a personal sense of accomplishment. An attempt was made, too, to select and tailor these courses to the needs and interests of the students.

Group therapy and individual counseling (personal, academic, and career) were made an integral part of the program. And finally, an attempt was made to involve the outside community as much as possible by bringing in speakers, musicians, artists and student panels to conduct or participate in activities for the student body.

The student selection process was purposely flexible. The program was conceived on the assumption that any "natively endowed, but socially and culturally handicapped individual can 'turn on and plug themselves in' to new education levels in society if they are given a careful chance."[7]

Major criteria for selection were evidence of native intelligence (I.Q. of 90) and an expressed interest in acquiring a college education. For those who did not possess a high school diploma tutors were provided to assist them in passing the test for a General Educational Development (GED) certificate.

A final component, and one believed to be unique to UBOPP, was the recognition of the need for a "follow-through" phase which extended the services of the program to the student after his release from prison. A revolving fund was provided by the grant to finance the students school and living expenses as long as he remained to be a full-time student.

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7. Gaddis, p. 5.

The general purpose of such follow-up activities was to reinforce the general perspective that "...any inmate participant, whore expectation levels had been raised and who had demonstrated his abilities in the program, would not be denied (upon release) further opportunity to develop his education."[8]

Originally UBOPP was to run for one year, subject to refunding under the general Upward Bound guidelines for OEO Research and Demonstration grants. A second year was funded with provisions made for expanding the inside program offerings. During this second year the number of courses offered doubled while the curriculum emphasis gradually shifted from an "enrichment experience" to a concentration on fulfillment of lower-division group sequence requirements for a college undergraduate program.[9]

The "new look" of the program was a considerable departure from the college-preparatory orientation of the Upward Bound philosophy thereby causing OEO to evaluate the regulations governing Upward Bound grants as applied to the Oregon Prison Project. As a result of this evaluation UBOPP was transferred from Upward Bound to administration under OEO's Office of Program Development. Federal monies were appropriated for its expansion in Oregon and for its replication in additional states. The name "Project NewGate" was officially adopted to represent this OEO experimental effort.

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8. Gaddis, p. 5.

9. Though written documentation on the causes of this reemphasis is not available one could more than speculate that, in part, this shift in direction from a "hang loose" attitude to a more formalized approach was the result of a serious riot which took place at the Oregon State Penitentiary in March of 1968.

This administrative transfer enabled the Oregon NewGate program to transfer sponsorship from the University of Portland (which had been unwilling to provide adequate service to UBOPP students and had begun to place unreasonable restrictions on UBOPP student admissions) to the University of Oregon and open a school release facility on its campus.

In addition to the expansion of Oregon Project NewGate new programs were to be implemented through OEO funding in New Mexico, Kentucky, Colorado, Pennsylvania, and Minnesota. Proposals for the new programs were selected for funding on the basis of their similarity in structure to the Oregon program--the purpose here being to provide "seed money" for developing innovative, demonstrated-effective model programs of higher education for offenders--programs that could be financed through state funds at the end

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Estimated reconstruction costs of the prison physical plant, damaged by fire and breakage during the riot, totaled nearly six million dollars. The aftermath of the riot brought a "get tough" policy by prison administration, and all "outsiders" and "free people" were regarded as threatening to the stability of prison operation. UBOPP staff, with their beards, and "liberal" dress, were looked upon as radicals who "just might have" been instrumental in starting the riot. UBOPP staff were barred from the institution and not readmitted until they agreed to exert tighter controls over the "comings and goings" of UBOPP students.

In addition, regulations regarding dress, beards, and haircuts were enforced with military precision. Thomas Gaddis, the project director, was permanently prohibited from entering the prison or otherwise exercising administrative control over the inside program. Recognizing that, because of circumstances, he could no longer adequately serve the program he worked to create he voluntarily resigned from his position as director. Gaddis cooperated with staff from the University of Portland, Oregon State Penitentiary, and the national office of Upward Bound in the selection of his replacement, V. Lee Layman.

Layman replaced "radical" counselors and teachers with more "traditional types." The course curriculum was refined and expanded to include more traditional academic offerings, and "willingness to participate" in group therapy became a requisite of student selection.

For further information, a narrative description of this riot and the role of UBOPP students is included in Richard Shoblad, Doing My Own Time, N.Y.: McGraw-Hill Publishing Co., 1972. Shoblad was one of twenty-seven UBOPP students trapped during the riot by fire on the education floor of the prison.

of the demonstration period, replicated by other states, and applicable to a broad range of correction system structures.

Though detailed characteristics of the various NewGate programs differed greatly, following is a list of selected characteristics with which NewGate directors generally agree[10]:

1. NewGate is a four-year academic program for prison inmates.
2. NewGate has an in-prison component which offers a full-time, fully accredited academic program to interested and qualified inmates.
3. NewGate offers some type of therapy to all participants.
4. NewGate offers career, academic, and personal counseling services to all program participants.
5. NewGate has a transitional phase (school release, school furlough, early parole) which enables the inside-program participant to transfer his program to the college campus intact with therapy and counseling services as well as full financial support.
6. NewGate has a release phase (parole or discharge) offering continued services and full or partial financial support as needed to full-time NewGate students until the student discontinues his participation or receives his baccalaureate degree.
7. NewGate staff (director and counselors) should have their salaries paid through project funds, maintaining a "neutral" administration concept separate from prison and university financial control.

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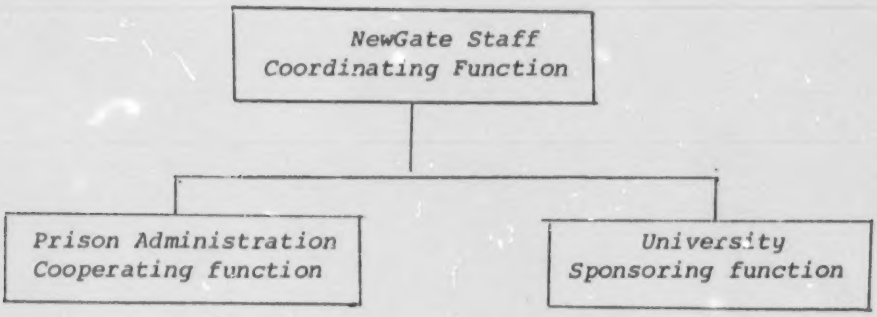
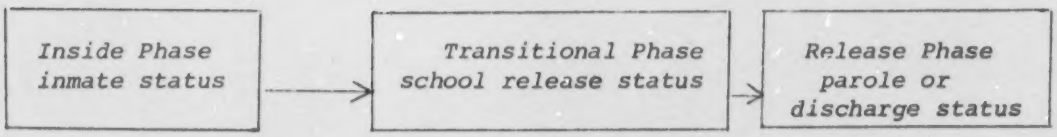
10. Proposal to Conduct an Evaluation Study of Prison Education Programs, Booz, Allen & Hamilton Inc., Washington, D.C., November, 1971.

From this list of selected characteristics three basic structural designs emerge:

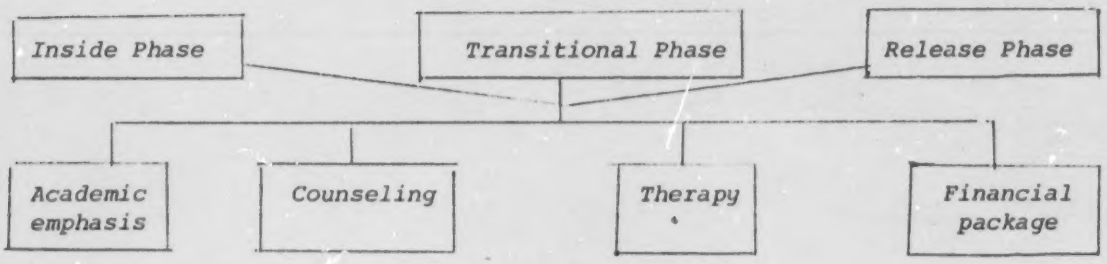
1. NewGate Administration



2. NewGate External Components



3. NewGate Internal Components:
Continuity Through Phases



Among the presently operating NewGate projects there is great varience in inmate group characteristics, type and number of course offerings, therapy and counseling techniques, and degree of prison and university participation in the program.

However, in spite of these differences, it has been shown that similarities emerge in structural and component design, and overall program emphasis. Each project, for example, requires the facilities and cooperation of a correctional institution and a university; each project has an in-prison, a transitional, and a release phase; each offers counseling, therapy, and financial supportive services continuously through all three phases; and all projects have an academic degree and subsequent career emphasis.

These similarities, combined, present the structural outline for developing a model program of higher education for incarcerated offenders.

A Model Program of Higher Education for Incarcerated Offenders

I. In-Prison Phase: The in-prison program offers a full-time, concentrated experience of accredited college-level course work, counseling, and therapy. The program is open to all of the general inmate population who hold a high school diploma or G.E.D. certificate, and who express a desire to participate in a full-time program of college instruction. The number of inmates selected will generally be determined by the amount of space available in the institution for a full-time program of this nature. Those inmates selected will be relieved of all other institutional maintenance duties. The education program will be their full-time institution assignment.

Emphasis of course offerings will be toward correction of basic academic skill deficiencies and fulfillment of lower division group requirements demanded by most universities. Personal, career, and academic counseling services are available to the student at all times by a program staff counselor. Therapy or guidance counseling will be available on a regularly scheduled basis. A stipend will be given to each student for the purchase of personal effects. All academic-related expenses will be paid through program funds.

II. Transitional phase: Where permitted by law all inmate-students should be given the opportunity to participate in a program of school-release or school-furlough. Here the student is usually released to attend classes and campus activities during the day and returned to a supervised living arrangement at night. Though a community-based correctional center could be used for this purpose, a preferred arrangement would be the use of a residential facility offering a more relaxed atmosphere for study or social interaction.

A staff counselor assigned to this university-based component maintains regular office hours and otherwise makes himself accessible to the students at all times. Therapy or guidance counseling will be available at the school-release facility on a regularly scheduled basis.

The student's academic program will be oriented toward a selected major and fulfillment of graduation requirements, and should provide a logical extension of school work completed during the in-prison phase. The program counselor here will constantly assist the student in the realistic assessment of his career plans. In addition, the student will be encouraged to make use of academic, personal, and career counseling

services available through the university.

A stipend will be furnished to each student to spend as he chooses. Tuition, costs of books, school supplies, clothing, room and board will be furnished through program funds.

All program services will continue as long as the student maintains lawful behavior and an acceptable standard of academic performance as required by the participating university for all students.

III. Release phase: When the student is paroled or discharged he would be excepted to secure living arrangements of his own e.g. an apartment or dormitory room. The counseling, therapy and financial supportive services continue for the released student until he voluntarily terminates his participation, graduates, is suspended by the university, or is convicted of a new crime.[11]

Supportive Evidence

As a correctional treatment approach the Model presented above finds logical support in three main areas of available literature: (1) criminological, correctional, and sociological theory, (2) empirical research in these disciplines, and (3) the growth of prison higher education programs.

1. Criminological, Correctional, and Sociological Theory: As early as 1870 the American Prison Association officially recognized that "Reformation, not vindictive suffering, should be the purpose of penal treatment."[12]

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11. A similar model is included in John Marsh, "Higher Education in American Prisons," Crime and Delinquency Literature, vol. 5, no. 1, March 1973, pp. 139-155.

12. For a detailed discussion see Harry E. Barnes and Negley H. Teeters, New Horizons in Criminology, 1959, pp. 322-347.

The overwhelming weight of evidence further indicates that vindictive punishment cannot be justified as an effective deterrent against crime.[13] More recent students of crime, correction, and sociology have recognized that criminal behavior and correctional philosophy are intimately related to socio-economic problems. Jackson Roby has indicated that the "...socialization process keeps most people law-abiding, not the police."[14]

Correctional theory has increasingly reflected the knowledge provided by those studies which explore socio-economic processes and the way individuals respond to those processes. At least five criminological theories, as summarized below, contribute evidence in support of the Model.

Merton's theory of "anomie"[15] maintains that certain categories of people, once denied access to legitimate means of obtaining culturally-acclaimed goals, are likely to engage in what has been generally defined as deviant behavior. Breakdown of the sense of attachment to society is manifested in social instability and interpersonal alienation, and is a direct product of lack of access to legitimate economic opportunities.

Sutherland and Cressey's theory of "differential association"[16] is based on the assertion that "culture conflict" is the fundamental condition to be considered in any explanation of crime. Their general theory has been elaborated through development of an explanation of the process by

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13. An in-depth discussion is provided in Franklin E. Zimring, Perspectives on Deterrence, Public Health Service Publication No. 2956, January, 1971, pp. 1-109.

14. Jackson Toby, "Is Punishment Necessary?", Journal of Criminal Law, Criminology and Police Science, 55, 1964, p. 334.

15. Robert K. Merton, Social Theory and Social Structure, rev. ed., New York: The Free Press of Glencoe, 1957.

16. Edwin H. Sutherland and Donald R. Cressey, Principles of Criminology, 6th ed., Philadelphia: J.B. Lippincott, 1960; and Donald R. Cressey, Delinquency, Crime and Differential Association, The Hague, Netherlands: Martinus Nijhoff, 1964.

which an individual comes to engage in criminal or non-criminal behavior. In essence, criminal behavior is learned through interaction with persons in a pattern of communication. The specific direction of motives, drives, rationalizations and attitudes is learned from persons whose attitudes are favorable to violation of legal codes. Access to both criminal and non-criminal association is differentially distributed; the position of the given individual in the social structure will influence the type of associations which are available to him.

Cloward and Ohlin have expanded upon the work of Merton, Sutherland, and Cressey by developing a theory of "differential opportunity."[17] Access to illegitimate as well as legitimate opportunities for goal attainment is differentially distributed. This theory indicates that delinquency results when an adolescent's path to culturally-accented success goals is blocked by low social class or lack of education, providing that the adolescent simultaneously finds illegitimate paths open.

Reckless et. al. have established the importance of a positive self-definition supported by one's close associates.[18] If one thinks of himself as a non-criminal, and if this self concept is supported by family and social contacts, the liklihood of cirminal behavior is substantially reduced.

Another important contribution grows from Clemmer's theory of "prisonization."[19] This suggests that upon entering prison, one is

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17. Richard Cloward and Lloyd E. Ohlin, Delinquency and Opportunity: A theory of Delinquent Gangs, New York: The Free Press of Glencoe, 1960.

18. Walter C. Reckless, Simon Dintz, and Ellen Murray, "Self Concept as an Insulation Against Delinquency." American Sociological Review, 21, 1956, pp. 744-746.

19. Donald Clemmer, The Prison Community, New York: Rinehart & Company, Inc., 1958.

in some degree absorbs the folkways, mores, customs, and general culture of the penitentiary. The more one assimilates prison life, the less able he is to adjust to the free community after release from incarceration.

The Model presented above builds on these theories and the experience of NewGate operation by attempting to provide new opportunities to prison inmates. Through education, counseling, therapy, and continuing financial support the Model offers a way to develop an inmates' sense of social attachment while providing tools necessary for achieving culturally acclaimed goals. Group therapy and a scholastic atmosphere within the prison are used to generate a sense of community and a positive pattern of associations. The Model would offer a method for shifting the differential opportunities available to the inmate in order to reduce the liklihood of the inmate having to avail himself of illegitimate opportunities. The supportive atmosphere observed in NewGate programs is intended to stimulate and reinforce healthy self concepts and, by building a bridge for the transition from prison to campus to community, to counter the process of "prisonization" and promote a healthy adjustment to the community.

2. Empirical Research: A substantial body of correctional research demonstrates the viability and effectiveness of certain new and innovative approaches to correctional treatment. Most of this research indicates that individual efforts aimed at providing education, counseling, post-release supportive services and increased employability have been successful.

Education: The value of education as a correctional treatment tool has been repeatedly demonstrated. In a pilot study Zink found a high

positive correlation between prison school attendance and socially acceptable post-release conduct.[20] Saden reported that parolees who had been participants in prison education programs were more likely to be successful than non-student parolees.[21] This supported the findings of a 1941 analysis of parolees from Joliet Penitentiary.[22]

A program of education would appear to be particularly applicable within a correctional institution since "...a high proportion of offenders are severely handicapped educationally."[23] The academic attainments of inmates are often far below what their intelligence test scores indicate they are capable of attaining, and even the intelligence test scores may themselves be low due to inmate insecurity.[24]

Daniel Glaser's research demonstrates that inmates also perceive that the need for education is high. The first interest of inmates at every prison included in his study was to learn a trade or to prepare

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20. Theodore M. Zink, Study of the Effect of Prison Education on Societal Adjustment (unpublished Ph.D. dissertation, Temple University, 1962).

21. S.J. Saden, "Correctional Research at Jackson Prison," Journal of Correctional Education, Vol. 15, 1962, pp. 22-26.

22. Education in Prison and Success on Parole, Stateville Correspondence School Monograph Series No. 1, 1941.

23. The Challenge of Crime in a Free Society, Report of the President's Commission on Law Enforcement and Administration of Justice, 1967, p. 160.

24. Daniel Glaser, "The Effectiveness of Correctional Education." American Journal of Correction, March-April, 1966, pp. 4-9.

in other ways for a better job opportunity outside prison.[25] In a demonstration project at the Women's Division of the Detroit House of Correction, special services were provided for females who were soon to be released from prison. Counseling, training, and follow-through services--including the use of four halfway houses--were made available to the women. Control and experimental groups were designated with follow-up research showing a recidivism rate of 39 per cent for the experimental group, and 49 per cent for the control group.[26] Support for the community-based, follow-up group treatment approach nas also been provided by the Community Treatment Project of the California Youth Authority. An experimental design was meticulously followed in this project. After five years of study, the research division of CYA reported considerably greater success for CTP participants than for non-participants. Fifteen months after their return to the community, only 28 per cent of the experimental group had failed on parole, as contrasted with a failure rate of 52 per cent for the control group. An additional important outcome of CTP was its ability to identify particular experimental groups for which predicted-most-effective treatment methods proved to be no more effective or less effective than the outcome of control groups who simply went through the regular CYA channels of conviction, incarceration, and parole.[27]

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25. Daniel Glaser, The Effectiveness of a Prison and Parole System, New York: The Bobbs - Merrill Company, Inc., 1964.

26. Project Fresh Start, Final Report and Evaluation, Archdiocesan Opportunity Program, Detroit, 1967.

27. The Community Treatment Project After Five Years, (Sacramento, California: Department of the Youth Authority), pp. 5-6.

Employability: Pioneering efforts by Glaser and Rice have given evidence that crime rates vary with employment levels.[28] Belton Fleisher utilized complex mathmatical procedures to reconfirm the Glaser-Rice finding of a positive relationship between arrest rates and unemployment.[29] A comprehensive Wisconsin study on factors related to parole success further substantiates these conclusions.[30] In the Wisconsin study it was determined that rates of parole violation declined among those parolees whose post-commitment job experience improved over their pre-commitment job experiences. It thus appears that one thrust in any correctional treatment program should be an effort to increase the employability of correctional institution inmates. As noted by the President's Task Force on Prisoner Rehabilitation:

> "satisfying work experiences for institutionalized offenders, including vocational and prevocational training when needed, and the assurance of decent jobs for released offenders, should be at the heart of the correctional process."[31]

The Model presented here, based on the rationale underlying

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28. Daniel Glaser, and Kent Rice, "Crime, Age, and Unemployment," American Sociological Review, October, 1959, pp. 679-86.

29. Belton M. Fleisher, "The Effect of Unemployment on Delinquent Behavior," Journal of Political Economics, Vol. 71, 1963, pp. 543-55.

30. Dean Babst and James E. Cowden, Program Research in Correctional Effectiveness, Report #1 (Madison, Wisconsin: Department of Public Welfare, Division of Research, 1967).

31. The Criminal Offender--What Should Be Done? Report of the President's Task Force on Prisoner Rehabilitation, April, 1970.

the NewGate concepts, not only recognizes the value of these professionally-recommended techniques, but also goes further in that it provides a method of incorporating the merits of all approaches into one total program. Individually, these innovative approaches have merit, but the problems faced by inmates trying to make the transition from prison to college to community are so immense that a comprehensive and integrated pre- and post-release program is needed. As V. Lee Layman, Director of Oregon Project NewGate has observed:

> "Penal programs...seldom...function as a unit. (Yet)... a man is seldom only under-educated, untrained, emotionally misdirected, or spiritually off-tract. Generally he is all of these things if he is any." [32]

The Model provides an innovative and comprehensive approach to these problems.

3. The Growth of Prison Higher Education Programs: The NewGate program is part of the recent trend towards developing prison higher education programs. This trend is documented in a comprehensive exploratory survey conducted for the Ford Foundation by Stuart Adams.[33] The survey was conducted in late 1967 and drew responses from the federal and 48 of the state correctional systems. Of the responding prison systems, 36 indicated the use of some form of college-level instruction in the prison. More specifically, the following pattern of instruction emerged:

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32. V. Lee Layman, Prison to Community via Oregon Project NewGate, paper presented at the Centenial Congress of Corrections, Cincinnati, Ohio, October 11-15, 1970, pp. 2-3.

33. College-Level Instruction in U.S. Prisons: An Exploratory Survey, University of California at Berkeley, January, 1968.

	Number of Systems	Approximate Number of Participants
Correspondence courses	31	800
Live instruction through extension division of nearby universities	20	1,800
TV instruction	3	100
College-furlough	4	10

The use of correspondence courses started in the early thirties and has not increased appreciably since the early sixties. Extension programs in prisons began in the early fifties and continue to increase. Nine of the 20 extension programs surveyed were started in 1967. TV instruction to incarcerated offenders began in 1958. All of the reported college-furlough programs began in 1967.

Approximately six months after the Ford Foundation study, an independent survey[34] was conducted by Miami University, Oxford, Ohio. Unlike the Ford study, which contacted central offices of correctional systems, this survey directly contacted 737 individual correctional institutions. Of 395 responding prisons, 107 offered university or college programs involving approximately 3,650 students. Included were 73 correspondence programs, 48 extension programs, and 15 study-release programs.

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34. M. Patrick McCabe, "Preliminary Results of a Survey of Correctional Ecuation in the U.S.," Miami University, Oxford, Ohio, July, 1968.

A survey[35] of the role of junior colleges in the prison community was conducted during 1969-70. A brief questionnaire containing two items of inquiry was mailed to all institutions listed in the AAJC 1969 Junior College Directory. Responses indicated that 121 two-year institutions offered an educational program in conjunction with a correctional institution. A detailed questionnaire of 23 items was next submitted to the 121 institutions. One hundred of the 121 completed and returned the questionnaire. Most of the programs reported in the study were relatively new. The two oldest had been in existence nine years, while 85 per cent were less than five years old. A total of nearly 6,900 students were reported to be enrolled in these programs. Most (60 per cent) of the programs enrolled 50 students or less. Live instruction was the predominant teaching method, being reported by 93 per cent of the colleges.

While one can observe a trend toward rapid growth of higher education programs in prisons, general experience suggests that an in-prison four-year degree program is an unrealistic goal, and that, instead:

> "...the most effective organization of prison-college instruction will probably consist of procedures to motivate and prepare prisoners for entry into free colleges during their parole careers." [36]

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35. Stuart Adams and John Connolly, "Role of Junior Colleges in the Prison Community," Junior College Journal, March, 1971.

36. Stuart Adams, Higher Education in Prison: Some Current Trends, paper presented at the 98th Annual Congress of Correction, San Francisco, California, August 25-29, 1968, p. 11.

The proposed Model is directed toward just this end.

Conclusion

One can safely assume that the use of higher education programs in prisons will continue to increase. Whether these programs evolve out of isolated experimental efforts, or whether they develop from a base of accumulated knowledge and experience depends largely on an ability to successfully communicate the methods of programs proven to be effective. As the introduction of any program of the magnitude of NewGate into a correctional institution will necessarily produce changes in that institution, one method of communication which views the NewGate "expert" as change-agent would appear to have merit.

Objectives of the NewGate Resource Center

The NewGate Resource Center, funded by the Office of Economic Opportunity and sponsored by the National Council on Crime and Delinquency, became operational in October, 1971. Based on the experience of the NewGate demonstration programs, and as described in the preceeding section of this report, the purposes of the Resource Center were to retrieve, analyze, package, and disseminate information relating to the development of postsecondary education programs for offenders. The intended primary consumers of the Resource Center utilization program were correctional agencies, colleges and universities, state planning agencies, and related governmental agencies.

The Center proposed three basic objectives to be completed during the project.

I. Utilization Clearinghouse - The NewGate Resource Center proposed to establish and maintain a utilization clearinghouse of information concerning programs which link offenders to postsecondary education. The clearinghouse would retrieve, store, analyze, and package information related to offender education in general and the NewGate programs in particular.

II. Dissemination Strategies - The NewGate Resource Center proposed to test two basic dissemination strategies to be employed by the project.

A. Passive: The NewGate Resource Center proposed to develop and utilize a series of passive strategies including; newsletters, journal articles, questionnaires with reply formats, descriptive brochures and pamphlets.

B. *Active: The Resource Center proposed to sponsor, host, or organize a series of conferences designed to bring together educators, correctional authorities, and people experienced in the operation of NewGate type programs. The rationale for the conferences was to offer participants an opportunity to exchange information in person-to-person situations on problems, issues, strategies and methods for developing, improving, or expanding NewGate type programs.*

III. *Implementation - The NewGate Resource Center will provide to those consumers, who show an interest in establishing a NewGate type program, the necessary technical assistance and administrative support for implementing such a program. The technical assistance and administrative support was intended to include all aspects of programming, grantsmanship, and evaluation methods.*

A list of tasks and activities designed to allow achievement of Resource Center objectives were arranged in order of priority and proposed as four separate stages of project operation.

SUMMARY OF ACTIVITIES

Stage I - October, 1971 through June, 1972

Four major areas of activity acrried on during this initial stage of NewGate Resource Center (NGRC) operation will be discussed here not necessarily in order of content priority but as a convenient description of NGRC activities during this period.

Staffing: By approval of the Office of Economic Opportunity a staffing deviation from the original proposal enabled the hiring of NGRC staff by December 1971. The staffing pattern was thus established and consisted of one director, two field coordinators, one information analyst, and one executive secretary. One additional part-time staff member was hired to research the availability of funds for program implementation through various federal government agencies. This person was a graduate student residing in the Washington, D.C. area and began his duties in mid May of this period.

Information Functions: Beginning in January, 1972, the first monthly publication entitled NewGate Highlights was produced. (see exhibit I) The purpose of this publication was to make an ever-increasing number of interested people aware of postsecondary opportunities and activities being made available to offenders nationally. The first issue was mailed to approximately 700 persons; the June issue was received by more than twice that number. A NewGate Highlights mailing list was established and kept current with additions and address changes. A private mailing company was contracted to provide addressing and mailing services for approximately $35 per month.

A NewGate Directory (see exhibit II) was also compiled, printed and distributed to over 400 select persons during this period. Additional copies were mailed to 500 people requesting this publication. The Directory appears to have accomplished two major tasks: providing people interested in actively undertaking a NewGate type effort, with the names, addresses, and telephone numbers of other such interested personnel (thereby establishing important external communication linkages); and by acting as a subtle educational tool insinuating the current magnitude of the offender postsecondary education movement. Both effects tend to lend credibility to the "snowballing" phenomenon as evidenced by the increased number of listings contained in the final edition.

A third publication, NewGate Model (see exhibit III) was designed and printed for distribution to a broad range of personnel and agencies. The Model was developed and based upon NGRC staff observations of and experience with existing NewGate programs. Determinations were made regarding the stated ideals and operational mechanisms of each NewGate program. The Model provides a ready and in-depth familiarization with the component parts that would be considered basic and essential in the development of any projected NewGate program. More than 2000 copies of this document were distributed during this period.

A fourth printed document, NewGate - New Hope Through Education was actually the first to be developed by the NewGate Resource Center. Its printing and distribution was attempted on a trial basis numbering 1000 copies. Responses to this publication were instrumental in planning for the printing and distribution of the other publications listed in this report. All copies of the original New Hope have been distributed. A revised publication of the same name is included in this report. (see exhibit IV)

A two-fold one-page brochure entitled NewGate was also printed and mass distributed to 10,000 people. This brochure (see exhibit V) provides a pocket-sized familiarization with the design, origin, and accomplishments of NewGate and has proven to be the most easily distributable in large quantities. As a conference display brochure, people often ask for 25 or 50 to pass on to friends or to make available for correctional staff in larger numbers.

As an additional informational service both to intended consumers and to NGRC staff a survey of correctional facilities nationwide was made to determine their current involvement in providing postsecondary opportunities to residents. Three-hundred-sixty-seven correctional institutions for adult offenders received a copy of the questionnaire. A response from 192 institutions was returned to the NGRC indicating that 88 institutions were currently offering some form of postsecondary education. One questionnaire item inquired whether or not the respondent would be interested in receiving NGRC technical assistance in developing, improving, or expanding his postsecondary efforts. This response became one of the important contact points for the NGRC technical assistance operation. The results of this survey were never published, partly due to cost and time factors, and partly the response rate and quality of the data received did not appear to merit empirical discussion. It did, however, provide base line information as a rationale for a more serious survey conducted in Stage III of this project and discussed later on in this report.

As a further effort in fulfilling the NGRC information functions, a NewGate Display was designed for NewGate presentations and display booths at important national conferences (i.e. ACA and NICD). This display is a handsome fold-up, standing backdrop of brushed aluminum and sky blue pegboard upon which are displayed an attractive presentation

of pictorial and printed matter on actual NewGate Project operations. This backdrop stands behind a conference table attractively draped in dark blue velvet upon which is arranged a variety of NGRC printed material. This presentation is always supervised by a NGRC staff member who answers the many requests for more detailed information on NewGAte programs. During the period under discussion here, the display has been utilized on eleven different occasions for a total of 24 days.

National Educational Television through its network affiliate in Portland, Oregon, video taped a half-hour talk show with an Oregon NewGate graduate, the Oregon NewGate Director, and a NGRC staff member. The taped show was eventually seen on several NET affiliate programs.

There was an additional informational objective during this period of providing the news media with general interest and educational articles on NewGate. Through the individualized efforts of each of the NewGate project directors, nine such articles are known to have been published in local newspapers or carried by a wire service. Additional articles were published in campus and correctional institution periodicals. The NGRC initiated and was responsible for the publishing of three newspaper articles and made various imputs to articles such as that which appeared in the June, 1972 issue of Reader's Digest.

During the Stage I period, thirteen printed and mimeographed sources dealing with offender postsecondary education were abstracted. Four of these abstracts were included in the NCCD Crime and Delinquency Literature publication. Four more abstracts appeared in a following edition of the same publication. Additional xeroxed copies of all abstracts were provided to persons requesting this information from the NGRC.

It was determined that the NGRC could offer a useful information function to NewGate graduates who were seeking jobs in various areas of the criminal justice system. On a small scale and selective basis NewGate graduates have been informed (usually through project directors) of relevant positions available. Three graduates have been placed in leadership positions (also working toward Masters degrees) with the New Jersey Teacher Corps Correction Program.

Conferences and Group Presentations: An objective here was to determine the value of NewGate presentations to various groups of personnel in the fields of higher education, correction, and funding agencies. By designing an appropriate program and selecting different given audiences, NewGate information was presented and the results evaluated in terms of determining what would be the most productive expenditure of efforts and funds given subsequent opportunities for such gatherings. Below are listed the various group presentations made during this period.

1. NCCD Staff Orientation. Four phases of the NewGate educational program for NCCD staff were completed during this period. NCCD Field Staff were: 1) initiated to the concepts of NewGate through mailed printed matter in late 1971, 2) given a two-hour orientation on the goals and tasks of the NGRC and how the NGRC function would directly involve them (this was accomplished during the January 1972 NCCD staff meeting), 3) provided with a special 1 1/2 day NewGate Orientation period in Washington, D.C. in April, 1972, and 4) utilized directly in the field in conjunction with consultation by a NewGate project director or a member of the NGRC staff. The outcome of this education, training, orientation and involvement program was extremely positive. By the end of this period most field

staff had already made contacts with appropriate people in their immediate geographical areas of responsibility. In several cases, specifically North Carolina, Georgia, Florida, Texas, Oklahoma, Ohio, Illinois, and Pennsylvania, the NCCD field staff have agressively undertaken the establishment of a NewGate program as a major goal.

2. Correctional Educators Conferences. Two presentations and displays were undertaken for similar conferences in different parts of the country. The Southeastern Regional Conference was held in Florida. The NewGate program was well received, met with active participation during the presentation and drew a high level of interest at the display booth. Meaningful contacts were initiated with persons who later requested technical assistance. The second conference was held in Connecticut for a Northeastern Regional Meeting. The preponderance of personnel in attendance were of the primary and secondary school level and virtually no interest was expressed in either the presentation or the display. Minimal benefits are expected from the new NGRC's participation in this meeting.

3. State Conferences for Decision Makers in Higher Education, Corrections, and Funding Agencies. During this period, NCCD field staff (State Directors) in Oklahoma and Ohio convened key decision makers from the Department of Correction, various institutions of higher education and funding agencies within the state. Both one-day conferences drew maximum participation from those persons invited. In Ohio, funding has been verbally committed and NCCD field staff and NGRC staff assisted in drafting a NewGate program proposal and grant application.

4. Department of Correction Meeting. In the state of Georgia, a one-day conference was convened at the invitation of the NCCD Georgia State Director. The NewGate concept was presented and discussed by NGRC staff members with those persons attending. The presentation included how this concept and program could be implemented specifically in Georgia. Although the conference seemed to generate a moderate amount of interest, no meaningful action on the part of the Department of Correction toward establishing a realistic NewGate program has occurred.

5. Co-sponsored Open State-Wide Meeting. In an attempt to evaluate the outcome of reaching a broadened representation meeting, the NewGate Resource Center co-sponsored in New Jersey, a meeting that was open to all personnel in higher education, correction, and the state planning agency. By extending the sponsorship from just NCCD and/or the NewGate Resource Center to the State Department of Higher Education, the Division of Correction and Parole, the Governor's office, and the American Association of Junior Colleges, a significantly larger crowd was in attendance. The conference format provided participants an opportunity to discuss the implementation of such programs at their local institutions particularly where various junior and community colleges are already pared with state correctional institutions for educational programs. Both the state planning agency and governor's office representatives were conscious in their endorsement or intention of considering the undertaking of such programs.

6. Regional Correctional Conference Presentation. A major presentation and discussion of NewGate was undertaken at the Middle Atlantic States Correctional Conference, one of five major regional conferences held annually. The presentation was well received and the NewGate display enjoyed having a sizable number of conference attendees stop by and pick

up information. However, the conference itself was either ill publicized, ill planned, or for some other reason fell far short of drawing the anticipated 1,000 participants. Preponderance of persons in attendance at this meeting appeared to be low middle management correctional people, who would probably have minimum impact upon the system in which they worked. Other than making several significant personal contacts and minimizing the travel expense to do so, a great deal of productivity was not realized from participation in this meeting.

7. National Institute on Crime and Delinquency (NICD). The NewGate Resource Center was successful in obtaining a workshop program position at this national forum. Although the workshop room was nearly filled to capacity, the people attending the session did not appear to be the key people in their respective occupations. The format of the workshop was further complicated by the program chairman, effecting total control over the selection of the panel and its participants. The NewGate display booth was well received and a significant amount of literature was distributed to participants of the conference. The high point of the meeting relating to NewGate probably centered around the presentation of a bachelor's degree to the first woman graduate of a NewGate program. The presentation was made by the NCCD president. The presentation was made before an audience of some 650 select participants in the conference and reemphasized that NCCD is making the establishment of NewGate programs throughout the nation, one of its primary goals. The NewGate graduates response to the awarding of her diploma was probably the most touching highlight of the conference.

8. Inter-agency Council on Correction. A brief presentation was made by the NewGate Resource Center to participants of the monthly federal meeting of agencies which allegedly had an interest in coordinating their efforts in the correction field. This meeting was attended by

middle management personnel rather than those designated members of the council. Other than providing an opportunity to meet and chat with some of the personnel from other federal agencies following the meeting, we would expect minimal results to be derived from exposing those persons present to the NewGate concept.

9. Correctional Offender Program Effort (C.O.P.E.). A member of the NewGate Resource Center staff attended the initial C.O.P.E. meeting that was jointly convened by the Department of Justice, Labor, and HEW. The purpose of the meeting was to familiarize representatives from the fifty states with the recent plan for these three federal agencies to divert existing funds into programs wherein the offender will derive direct benefits. A presentation on NewGate was not a portion of the program. However, it was discussed in several of the informal groups as a meaningful and relevant way to move into the offender training and education areas. Many of the official delegates to the meeting were overwhelmed by the intention of this new program to become operational in such a short time that they did not appear to be responsive to program options that were discussed (NewGate included). This program will receive the continued attention of the NewGate Resource Center as it appears to be a potentially excellent funding source.

One of the objectives of this reporting period was to determine the effectiveness of conducted group presentations and small conferences. Based upon the evaluation of the NGRC staff and after experimenting with the previously described different types of conferences, the following considerations will weigh heavily in determining our future participation: Interpretation of the OEO Contract, active participation of funding source personnel, participation of key decision makers in both correction and higher education, minimizing the number of participants at any given presentation

so as to promote their direct involvement, utilization of existing NewGate directors, completion of thorough preliminary work prior to undertaking such a meeting, and a "hard-nosed" evaluation of the possible benefits to be derived from participating. Further exploration is anticipated with a project manager in the near future.

Direct Assistance: Related to the need to provide direct assistance to requesting states was the need to assign priority rankings to each state. Based upon available information from our correspondence, conversations and personal contacts with people in each state, the NGRC quarterly reviews, status of each state, and categorizes it in one of four priorities. Based upon the categorization of the state, the amount and concentration of effort to be expended in it by the NGRC is determined. States in the first category are those with the greatest promise. States in the fourth category are those with the least promise. Work assignments during this reporting period were made accordingly.

It was determined that providing technical assistance to states should be on a timely and meaningful basis. Even though the priority list is continuously being reevaluated as to where the limited efforts of the NGRC can best be expended, it is necessary to provide some level of technical assistance to all agencies and persons desiring the same. Utilization of the pre-printed material, written correspondence, and telephone conversations, was determined as an effective substitute to in-person technical assistance, thereby reducing unnecessary road time and minimize expenses. Utilization of NCCD field staff and NewGate project directors during this period was increased on a select basis.

An additional objective for this period was to acquire and maintain physical resource. The primary difficulty in undertaking the establishment of a NewGate program is not one of how the concept is received. The difficulty is in not having readily available resources to start a program.

Although the preponderence of resources are most readily available at local and regional levels, the NewGate Resource Center undertook a thorough investigation of current federal funds available for use in NewGate type programs. This was accomplished by temporarily utilizing graduate students in NCCD's Washington D.C. office. Its findings were typed and Xeroxed and would be available for use by NGRC staff in the next stage of the project.

Stage II - III - IV July 31, 1972 through January 31, 1974

The period of July 1, 1972 through January 31, 1974 (19 months) constitutes the remaining time period and a pericd in which the major activity of the NewGate Resource Center took place. Though the New-Gate Resource Center originally planned for termination on December 31, 1973 an ammendment and additional funds were granted the NewGate Resource Center by OEO for the purpose of planning and conducting a national conference on Higher Education and Criminal Justice. This ammendment allowed the NewGate Resource Center to continue operation for one additional month - through January, 1974. This conference will be described later in this report in detail.

It was determined from the experience of Stage I of the project that conducting conferences at regional and state levels with higher education and correction personnel for the purpose of acquainting those people with the NewGate concept, may well accomplish that singular purpose but may not be the best presentation method for purposes of follow-through activity on the part of either the participants or in soliciting the services of the NewGate Resource Center. There generally was a great deal of excitement generated in these conferences but activity after a period of time appeared to wane severely. The plan for the remaining stages of the NewGate Resource Center was determined to be the following: 1) to maintain and expand the NewGate Resource Center informational services. This was to be accomplished by acquiring all current information available on postsecondary education for offenders, by expanding the mailing list for the NewGate Highlights and by responding to any information requests in the area of postsecondary education.

2) by increased importance to the need for developing resource services to be made available to those who are developing or expanding programs of postsecondary education for offenders, 3) and a special emphasis was to be placed on the need for technical services.

Based on the experience of Stage I of this project and with the approval of the OEC Program Manager, revised objectives for the remaining period of the project are following described by order of priority.

TECHNICAL ASSISTANCE - The primary function of the NewGate Resource Center was determined to be the providing of technical assistance and consultation to agencies and individuals who are: involved in establishing programs along the lines of a NewGate model, upgrading existing programs to the level of the NewGate model, and to operating NewGate type programs. The personnel resources utilized to undertake this task has been determined to be the NewGate Resource Center staff, the NewGate Directors and/or their designated staff, the staff of the NCCD as designated and selected national advisors and consultants representing the correctional, academic, and governmental fields as needed. The technical assistance will include all aspects of programming and evaluation.

RESOURCE ASSISTANCE - Differing from the correctional-educational-programming nature of technical assistance, the NewGate Resource Center also provides assistance in the physical area. Those involved in establishing or operating NewGate programs or upgrading existing programs to the level of NewGate will be provided with help in the development of sound physical planning, identification of potential funding sources (be they private resources or local, state or federal government resources), the timely procurement of physical assistance, and the wise expenditure

of secured funds. The same personnel involved in the technical assistance described above will undertake resource assistance.

INFORMATION ASSISTANCE - The NewGate Resource Center determined to provide selected audiences with meaningful and relevant data designed to increase understanding and support for the NewGate concept and lead to the establishment of additional NewGate programs. This information will be transmitted to a variety of means which will be responsive to the following criteria: Priority, effectiveness, cost, timeliness, and reachability of selected targets. Printed hand-outs and mailings, monthly Newsletters, newspaper, magazine and professional journal articles, reference book, directories, presentations, small conferences, were selectively used to reach desired audiences. Collection, interpretation and packaging of useful information was undertaken by the Resource Center.

In order to meaningfully provide technical assistance in an orderly fashion, states were assigned a priority ranking according to the degree and kinds of needs that might be supplied by the NewGate Resource Center. Following is a breakdown of that categorization:

Category A States - These are states which already have existing NewGate programs and have given us no indication of offering additional programs, Minnesota, Missouri, New Mexico, Oregon, and Pennsylvania.

Category B States - These are states where the NewGate Resource Center technical assistance efforts have thus far resulted in producing submissions or proposals to funding agencies and wherein the minimal contact was anticipated as necessary until results of these efforts are determined.

Category C States - These are states which deserve the immediate attention of the NewGate Resource Center. They seemed to have the greatest potential for development and implementation of a NewGate type program. Ohio was determined to be in this category.

Category D States - These are states that are not quite in Category C and are usually lacking in certain encouraging characteristics exhibited by states in Category C and due to limited resources must be relegated to a lesser priority for expenditure of NewGate Resource Center efforts.

Category E States - These are states in which the NewGate Resource Center has made positive contacts and which have been determined to have an even lesser potential for developing a NewGate type program than the preceeding category.

Category F States - These are states which are determined to need extensive development and investment of time to even show minimal progress in the area of development of postsecondary education programs for offenders.

The remaining portion of this final report will be devoted to describing examples of major NewGate Resource Center efforts in developing programs of postsecondary education for offenders.

OHIO NEWGATE OPENS

On September 25, 1973, forty-two residents of the Marian Correctional Institution, Marion, Ohio attended the opening of a new comprehensive higher education program, Ohio Project NewGate. The program has planned a dual curriculum for participants offering courses of study in liberal arts and vocational technical areas.

This Ohio project was developed as a result of recommendations from the Ohio Citizens Task Force on Correction and additional consultants who had independently research the value and operational designs of similar programs. The NewGate Resource Center provided the necessary outside technical assistance in this development process. Follow-through meetings with the Ohio Department of Rehabilitation and Correction caused them to pursue the recommendations of the Task Force and after long deliberation of almost a year and a half, endorsed the proposal of the project sponsors

the Ohio Board of Regents. This program operates along the lines of the NewGate model as closely as it can in its rather different geographical area. For example, there are many more institutions in the Ohio system than there are in any of the other NewGate sites. There are many more maximum security institutions and geographic proximity of institutions to major universities is poor.

CONNECTICUT

As a result of a conference convened by the NewGate Resource Center with 19 colleges and community colleges in Connecticut, the Department of Corrections has assigned the task of developing an educational plan, that is higher education, to the cooperative venture of four Connecticut colleges. The NewGate Resource Center convened this conference at the Quinnepiac Community College in Connecticut in November. Attending also were the Department of Correction, LEAA, DVR, and private research institute who had contracted to evaluate any program that was developed at this time.

FLORIDA

Continued activity on the part of the NewGate Resource Center with Florida, its community colleges, Department of Correction, and Department of Higher Education, has at this point still produced nothing very positive in terms of developing a NewGate type program. However, it was seen from the beginning as a state that would be difficult to coordinate all of the major interests that are presently involved in that state and orient the total effort toward a more comprehensive approach to educational planning in that state. The last major input of the NewGate Resource Center was to act as an outside resource person and conference facilitator to a conference convened for community colleges and the State Department of

Correction. Also attending this conference were Department of Correction personnel, Division of Vocational Rehabilitation, LEAA, State Department of Education, and two other outside consultants with whom the NewGate Resource Center paired their views.

OKLAHOMA

As a result of NewGate Resource Center efforts in consulting and offering technical assistance to the Oklahoma Board of Regents, which is the higher education administration body for that state, a NewGate type project was developed. The method for inside instruction was a rather unique adaptation of the television system that has been used unsuccessfully in other states. However, it was viewed simply as a mechanism to acquaint the inside student body, that is inside the prison with basic fundamentals of college study. The goal was rather than to have students taking courses for a long period of time in institutions, was to test people through this method for suitability for college work. If the student was found to be capable of performing well in a college work situation, he was to be considered for study release and placed outside in a minimum security facility and attend school full-time on campus. A full-time study release program with at least 30 people in a minimum security facility (the site still to be chosen) will be starting in September, 1974.

MASSACHUSETTS

As a result of extensive and on-going consultation with the Massachusetts Department of Correction and they in conjunction with the University of Massachusetts, four new programs of study release and parole support have been developed in that state. Each program corresponds with a branch campus of the University of Massachusetts.

This is a rather extensive university system and the branch campuses are often as large and in some cases larger than the mother campus in Boston. As a result of these consultations and the expansion of the programs to four sites, Massachusetts by September 1974, will have more people for any one state on study release than any other state.

PENNSYLVANIA

The NewGate Resource Center technical assistance activities to Graterford Prison in Pennsylvania resulted in many planning changes for the educational programs at that prison. In addition to the Graterford Prison consultation efforts, the NewGate Resource Center has also expended efforts in developing Lehigh University's Para-Professional program. The emphasis of this program is establishing postsecondary follow-through capability for the entire state correctional system including county jails. As a result of this work with the Lehigh University a proposal has just recently been developed and submitted to the Pennsylvania Department of Higher Education to provide both internal and external coordination to all state institutions immediately regardless of their present level of program development in the area of postseccndary education.

WASHINGTON STATE

As a result of a conference in Yakima during 1973, fifteen community colleges met with correctional and institution level administrators, state LEAA, and addressed the issue of community colleges role in the criminal justice system. The results of this conference, that is the proceedings, have been published. The NewGate Resource Center role was that of facilitator and conference planner. Extensive follow-through has brought at least seven to date of these

community colleges back together in cooperative planning for educational programs in that state. One major follow-through activity for that state developed as a result of this conference, is that of a formal on-going consortium of participants representing those agencies who were at the meeting including many ex-offenders and this consortium will be a permanent part of the postsecondary planning for correction education in that state. Additional consultation with the state SPA and the King County Judiciary was instrumental in the early development of the King County program entitled "College as an Alternative to Incarceration". As a result of this program, many men who are found guilty or who plead guilty are now sentenced to the University of Washington in Seattle or local community colleges as an alternative to serving a prison sentence. Additionally, recent legislation has approved a probation subsidy bill which makes for 1974, one or three million dollars available for diversion to community based programs. This money is planned to double for the second year and increase steadily each year thereafter. A substantial portion of the community based allotments are earmarked for postsecondary education purposes. Besides the judiciary and state planning agency, the NewGate Resource Center worked very closely with the Washington State Department of Probation in the development of some of the community alternatives in the justification for the probation subsidy terminology. As a result of both the NewGate Resource Center efforts and the additional monies made available by probation subsidy, Walla Walla Community College has nearly tripled the number of men that they serve at the Washington State Penitentiary in Walla Walla.

CALIFORNIA

There has been a continuous and on-going extensive effort on the part of the NewGate Resource Center throughout NewGate's experience, to develop and meaningful and comprehensive program of high impact in the State of California. Many efforts that were originally begun toward this end have somehow failed to materialize. In many respects, that is still the case. However, it should be mentioned that in the last two months of this project, more requests for technical assistance have come from California than in the entire preceeding two years of NewGate Resource Center existance. Just exactly why this is cannot be determined without further investigation. However, it may be seen as the consequence of the physical planning arrangement for that state. It may be a consequence of pressure groups finally reaching the people who have the power to develop programs of this type and who before now have probably resisted NewGate Resource Center assistance but now see it as necessary for justifying their proposal outlines. But whatever the reason for this increase in requests for technical assistance, California may be seen as a state in which the NewGate Resource Center tried very sincerely to have significant impact. One major example of the efforts expended in that state would be that of the Northern California NewGAte Program that had been proposed and the proposal revised three different times to make it acceptable to all those who would be involved in that program. Also, included in the proposal planning was a representative of the State Law Enforcement Planning Agency. He endorsed the final draft of the proposal and asked that it be submitted to a higher authority in the state planning agency. This proposal however was for the California Youth Authority system and specifically for the Carl Holton School for Boys as a base campus for a NewGate Program. This program was to operate in conjunction with Sacramento State University as the sponsoring

university and grant receiver. Additional community colleges and some supportive services from the University of California - Davis, were also incorporated in this proposal. Sacramento State University representatives submitted the proposal to the State Law Enforcement Planning Agency. It was at this juncture that the proposal fairly dropped out of sight so to speak, and was not heard from again, no matter how much one inquired about the status of the decision to fund or not fund it. It was found only much later that the person who submitted the proposal to the planning agency did so without first notifying our NCCD office in California who had worked very closely with this in the development of this proposal. In fact, it was they who made a meeting place available for Northern California meeting in which we convened over 35 people on three separate occassions. The person who submitted this proposal had a hidden agenda as word has it now. I have been unable to contact him for personal verification. The agenda was such that he is also leader of a migrant worker union and one of the goals for that union is to develop programs specifically for the Mexican-American population incarcerated in that state. The proposal which was designed to these ends, had a budget of nearly one-third only of the amount of the NewGate program proposal. The NewGate proposal was rejected and Pinto program was funded.

However, since then, the NewGate Resource Center has been in communication by telephone and correspondence with the California Department of Universities and Colleges and with the American Friend Service Committee and with two programs that have been operating modestly at the California Institution for Men and Women in Chino, California.

ALABAMA

Alexander City-State Junior College in Draper, Alabama was the first college to be involved in higher education programming for the Alabama Prison system. Here under the leadership of a college administrator, a modest program was developed inside the Alabama State Penitentiary. As a result of this modest beginning, the program now sponsors several men each quarter to be released for full-time study at a college campus. Additionally, the inside program has expanded nearly five times and now have over forty people enrolled in the college level education in that prison. This is not bad in a system in which many of the institutions do not even consider the general education development certificate to be of importance to its clientele. As a result of the college program there, the GED program has also expanded and has become a serious part of the correction system's efforts to rehabilitate its charges and not just punish them.

MONTANA

NewGate Resource Center efforts in the State of Montana have managed to launch the first higher education program in that state. That is the first time courses have been offered for college credit. Starting only a year ago two courses were being offered to residents within the Montana State Prison in Deer Lodge, Montana. Now, after one year of operation, that number of courses has increased to seven and a follow-through component with some use of study release but mostly parole has been added to the University of Montana in Missoula. Funding is a cooperative venture in that state; the Bureau of Indian Affairs, Division of Vocational Rehabilitation, Department of Labor, LEAA, Department of Correction, and some financial support from the Division of Continuing Education of the University of Montana.

ILLINOIS

Though NewGate Resource Center efforts have not been able to produce major impact on the inside programs that have been and still are operating in the state of Illinois penal institutions, consultation with the community Center's program office of the Department of Corrections has resulted in the expansion, use and understanding of the advantages of study release for that department. Through these efforts the Law Enforcement Commission and Illinois correctional school district, additional half-way houses have opened and the entrance requirements have been reduced, resulting in an increase in the number of residents who are able to participate in study release programs in that state. Participating institutions primarily in this study release program are Statesville and the Illinois State Correctional Institution at Pontiac.

NEW JERSEY

Since early in the NewGate Resource Center's existence, there has been a major effort to develop comprehensive educational planning in the postsecondary areas of correction in the state of New Jersey. However, it has been determined on many occassions since then that New Jersey threatens to be what may be called "program poor". After much work with the various agencies and program people to determine the need both for starting new programs and in further developing and expanding existing programs the NewGate Resource Center decided to cooperate with the New Jersey Teachers Corp in their efforts to provide a meaningful kind of education not necessarily traditional to the inmates of the New Jersey prison system. The NewGate Resource Center was instrumental in developing the "reentry" portion of the New Jersey Teachers Corp proposal for third year funding. This funding was granted and has resulted in the addition to the states education programs for offenders in the development of study

release and aftercare financial assistance for those who wish to attend college after release from prison.

VIRGINIA

The NewGate Resource Center has been working with Virginia Commonwealth University in Richmond to develop or assist them in developing a state-wide sponsorship and coordination of higher education involvement in the entire correctional education system for that state. It was decided that multi-agency funding was the most appropriate for an effort of this kind. Additional colleges and universities of that state were requested to cooperate in this coordinated effort. Many have. With the responsibility of the coordination ultimately that of Virginia Commonwealth University who also act as sponsors for the program, funding will be a tri-part tight agreement between Virginia Commonwealth University and the participating additional universities, the Virginia Department of Correction and the State Planning Agency.

WEST VIRGINIA

As a result of the starting of a small program at Davis and Elkins College in Elkins, Virginia, twenty students are now attending that college from the Huttinsville Correctional Center. It is a beautiful example of a cooperative venture in that Davis and Elkins waives tuition for resident students and reduces the instructional costs for students at the Huttinsville Correctional Center which is situated some 35 miles away from the college campus. Plans are to go for increased funding and develop a more comprehensive curriculum for inside the Huttinsville Correctional Institution. One arrangement between that college and that institution recently was to allow a professor to act as a guard at that institution and for a guard to come to the college campus for instruction.

NEWSPAPER COVERAGE FOR FINAL QUARTER

Publicity for the opening of the Ohio NewGate was achieved in national press through the Marion Star Reporter, Marion, Ohio. That press addressed mostly the development of the program but devoted a good extent of its editorial to the importance and applicability of the NewGate concept generally. National publicity regarding the recent Racine Conference was achieved through both newspaper and radio. Additionally, Johnson Foundation's regular audio show will present Wingspread conversations for one-half hour on as many as thirty-two radio stations nationwide. Christian Science Monitor recently published a lengthy article regarding the advantages of NewGate's applicability to the New England Criminal Justice System. Additional articles in New York Times regarding higher educations role in criminal justice were referred to as part of the National Council on Crime and Delinquency's plan for reform of the criminal justice system. The Director of the NewGate Resource Center has acted as a panelist on New York City radio, a talk back show in which many critical questions were posed to him by the listening audience, and additionally the NewGate Director was one of four panelists appearing on a national television program entitled "Attica". The panel met immediately after the film was shown and responded live to various aspects of the development of the riot conditions. The NewGate Director addressed specifically the possible effects that higher education, as a comprehensive and meaningful program for the Attica inmates, may have in fact prevented or assisted in preventing the terrible disaster before it ever started.

Additional articles are Stuart Adams in Change Magazine, who gave considerable publicity to both the NewGate concept, the programs, and the NewGate Resource Center. A further article by Al Roberts in Correctional Education Digest acknowledged NewGate as the father of

postsecondary education in this country in as far as it was the first major program to build in the capability for follow-through services to inmates, thus not just increasing aspiration levels and inducing the failure that would quite naturally come from not being able to achieve those new levels of aspiration.

NATIONAL TASK FORCE ON CRIMINAL JUSTICE AND HIGHER EDUCATION

The NewGate Resource Center has played a major role in the development of this task force sponsored by the National Council of Churches. Initial meetings in upstate New York and finally the funding of the task force through the National Council of Churches and its establishment of an office at Columbia University in New York City. The Task Force has chosen as its major goals for the coming year to be the development of strategy for the use of higher educations resource in changing the criminal justice system. A major emphasis is being made for this effort on the use of study release as a way to reduce the prison population while reform should produce some difference in the intake and thereby creating change beneficial to both residents and society. A NewGate Resource Center staff member was selected as part of the task force steering committee and continues to be active in that regard.

NATIONAL TASK FORCE ON HIGHER EDUCATION AND CRIMINAL JUSTICE: ASSUMING A MUTUAL RESPONSIBILITY

A recent conference in Racine, Wisconsin sponsored by the NewGate Resource Center through funding from OEO and with the cooperation of the Johnson Foundation in Racine, Wisconsin managed to convene together 26 states representatives of those states from correction and from higher education to address the major issues of resistance around developing more meaningful programs of higher education for offenders

as well as investigating the role of higher education in possible reform of the criminal justice system. Issues discussed were those which tend to be resistance oriented. Resistances, for example: 1) on the part of higher education to increase their leadership and responsibility to be involved in applying the resource of higher education to the criminal justice system. 2) Resistance was seen as corrections resistance to allowing higher education to develop more responsibility and leadership. 3) The resistance of reordering funding priorities so that the implementation of offender education programs and further inquiry into higher education's role for reform could become a reality. The conference lasted for four exhausting days with consensus reached in many major areas, which to my knowledge never had before been accomplished by such a diverse group. One of the major outcomes of this conference was that of the development of a National Committee on Higher Education and Criminal Justice. A NewGate Resource Center staff member is Chairman of that committee. Additional representatives on that committee are the New Mexico State Director and the Director of the NewGate Resource Center. Plans are to reconvene this committee some time in March for the purpose of developing structure and funding for the organization to become a permanent part of what used to be a national movement in higher education for offenders.

The proceedings of this conference are in the process of being edited and published by a criminal justice consultant firm in Seattle, Washington. Final copies of the conference proceedings will become the property of OEO and distributed to all conference participants with extra copies for the NCCD Library and Information Center.

In June 1973, the NewGate Resource Center conducted a national survey of postsecondary education programs for incarcerated offenders.

This was a telephone survey in which 305 institutions either superintendents or assistants were contacted and asked about their higher education programs at their institutions. A copy of this survey is attached (Exhibit VI). It was determined by this survey that the movement has grown considerably during the past three years, almost doubling its previous size each of those years. At this point, a total of nearly 12 thousand men and women who are incarcerated are also involved in taking college level courses. A total of 1,550 men and women are currently participating in study release programs, in conjunction with many of those inside programs. A total of 218 institutions of the 305, are offering some form of college level instruction to the residents. The predominant form of instruction was in person and predominant source of accreditation was a university. This is a marked difference from the trend a few years ago that was predominantly correspondence with accreditation by a division of continuing education and with study release non-existent and follow through either on or non-existent. The major growth appeared in the period between the development of the original NewGate and present date. A tremendous increase in numbers of programs began in 1972 with a projected even greater increase for the year 1973. Interestingly, major developments and projected developments correspond very closely to those areas in which the NewGate Resource Center has recorded its major efforts for the past 2½ years nearly, of operation. A contact report numerical summary is attached in this final report. That is appendix C.

SUMMARY

It is the opinion of the NewGate Resource Center staff and that of the National Council on Crime and Delinquency that many of the activities performed by the NewGate Resource Center will not reach fruition for the

present or for some time to come. This is seen rather as a situation in which a state's sense of timeing does not necessarily correspond with the needs for showing a product by the NewGate Resource Center. It is for this reason that it would have been preferrable to write this final report some three years down the line when all thoughts have been allowed to jell and a true need for technical assistance had been developed. An awkward situation throughout the NewGate Resource Center program was that of selling not only the NewGate Concept but additionally also selling the need for technical assistance to those people who were attempting to convince that this was a program that would be beneficial to them and their situation. Major obstacles throughout the NewGate Resource Center experience was with that of not being able to adequately identify the type and amount of funds necessary for program development. This was not a fault of the NewGate Resource Center but rather most often a situation of the NewGate Resource Center's not being in a position to respond competitively with the many not always obvious hidden agendas competing for planning agency funding. This also could be seen as not the realm of the average person developing a proposal and submitting it for funding in many of the states in which we assisted in proposal development.

Specific activities of the NewGate Resource Center are reported in detail in the Quarterly Report. This final report rather summarizes the major activities and hopes to suggest that they are developmental in nature and potentially growing and ongoing kinds of activities rather than terminal. For example, Ohio NewGate will require continued technical assistance from some NewGate experienced person. They do not have, for example, their follow-through component together to the point of making it effective at all as a program. Many additional activities of the NewGate Resource Center were viewed from time to time as highly promising

for completion with some last moment rearrangement of funding, very often the reason the program did not develop.

Perhaps the most significant contribution of the NewGate Resource Center was its ability to increase the visibility of both the NewGate concept specifically and the area of postsecondary education for offenders generally. This increased knowledge will definitely have its effect, if not now, a few short years down the road.

NewGate Resource Center activities will be continued in good portion to services of the National Council on Crime and Delinquency. The NCCD Information Center will respond to all requests for information regarding the NewGate concept. The NCCD field services staff will continue to respond to requests for technical assistance in the areas of developing or expanding postsecondary education programs for offenders. A network of people interested in developing programs of this type will of course continue to inquire for both assistance and information from the NewGAte Directors and the NewGate Resource Center staff wherever they are. It is these people that take the business they are about seriously, and it is these people that will ultimately be the people who continue the NewGate concept and continue to expand and improve on the original model as we face a changing world of criminal justice.

The following section of this report is included not solely as an academic exercize but as a document which should land some insight into the change agent process as it deals with the corrections system and specifically the correctional institution system. All the issues exposed in the following section are documentable from several schools of thought and appear to be a sort of working guide for actual ongoing feedback for anyone working in the field.

The NewGate Resource Center:

Issues Faced by the NewGate Expert

as Change-Agent in the Replication

of the NewGate Demonstration Programs

*"One of the greatest pains to human nature is the pain of a new idea. It is, as common people say, so 'upsetting'; it makes you think that after all, your favorite notions may be wrong, your firmest beliefs ill-founded . . . . Naturally, therefore, common men hate a new idea, and are disposed more or less to ill-treat the original man who brings it."**

**Walter Bagehot, Physics and Politics, New York: Appleton-Century, 1873, p. 169.*

Introduction

Learning new ways of doing things from observing others underlies many projects which offer demonstrations as a technique for encouraging innovation and replication. Model farms, model schools, model factories, and model communities have been designed to persuade observers to do likewise. The originators of Project NewGate had similar intentions.

The usual outcome is that the demonstration project is a great experience for those who design and develop it, but it seldom is adopted by others.[37] *The "Hawthorne effect" helps to make the original project highly successful, but this does not diffuse to imitators.*

In terms of these factors the prospects for developing new programs of higher education for offenders based on the experience and demonstration of Project NewGate may be examined. Most studies of unsuccessful diffusion suggest that something more than the merits and effectiveness of the model project itself must account for its replication. Rogers and Shoemaker offer that adoption of an innovation is not a haphazard phenomenon but the result of planned premeditated actions by change-agents.[38] *And as Bennis suggests, more important than the effectiveness and methodology*

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37. Frederick L. Redefer, "The Eight-Year Study After Eight Years," Progressive Education, 1950, XXVIII, pp. 33-36; and Goodwin Watson, "Utopia and Rebellion: the New College Experiment," in Miles M. (ed.), Innovation in Education, New York: Teachers College, Columbia University, 1964, Ch. 4.

38. Everett Rogers and Floyd Shoemaker, Communication of Innovations, New York: The Free Press, 1971, p. 227.

of the model for replication is a "heavy emphasis placed on the strategy of the role model because the main instrument is the change-agency himself: his skills, insight, and expertise."[39] It was on the basis of this rationale the NewGate Resource Center was proposed, and funded in late 1971 by OEO as a dissemination effort.

The NewGate Resource Center strategy was simple and logical. A director and a staff of field coordinators, all who were NewGate experts, were to gather, analyze, synthesize, and disseminate information about all existing NewGate operations, and to offer free technical assistance to universities and correctional systems interested in developing NewGate type programs. Printed NewGate information has been distributed to all fifty states, D.C., Canada, and Puerto Rico. The staff has responded to requests for technical assistance in over forty states.

On the basis of the NewGate Resource Center experience and library research in the areas of social and organizational change the concern of this section will be to select for discussion a number of problems confronting the development of new programs based on the NewGate demonstration model.

In the hope of maximizing the utility of this paper for anyone involved in the business of influencing a prison system to adopt a program of change, major attention will be paid to discussing problems centered around the role of the change-agent, and to identifying the primary tasks which would guide his activity throughout the change process.

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39. Warren G. Bennis, Changing Organizations, New York: McGraw-Hill, 1966, p. 122.

Problems Inherent in the Change-Agent Role

The NewGate expert as change-agent must first accept that his role inherently contains certain qualities which may be negative as well as positive but which, in any case, must be recognized if he is ever to function effectively.

First, the change-agent must act professionally. Since the change-agent proposes a program of change that ultimately will affect numbers of offenders lives, he must defer his own personal gratification in dealing with a prison system. Accepting the reality of a prison system's interests, especially when they may run counter to his own, is no easy task. He must continually check his own needs, motives, and wishes.

Second, the change-agent is not a formal member of the prison system. In this respect his role is always marginal. While the marginal aspect of the change-agent's role can enhance his detachment and perception, it can more often create discomfort. The prison system as well as the change-agent must come to terms with his marginality.

Third, the role of NewGate change-agent is ambiguous. When asked "what do you do?" the change-agent is often hard put to answer. Often he may jestfully respond that he "sells NewGates," or depending on the degree of seriousness in the question he may attempt to explain what he does in a brief paragraph or two. Consequently, the ambiguity of the role often suggests its lack of legitimacy as well as credibility. The prison administrator may respond to the change-agent with suspicion and hostility because of his ambiguity. However, the same ambiguity may

provide the change-agent with the necessary latitude of activity that more precisely defined roles do not follow.

Fourth, the role of the change-agent is insecure. The change-agent may be discharged from working with a prison system without an explanation. Inadequate knowledge and the lack of guidelines for many of his actions make his role insecure. Additionally, the profound resistances which the change-agent encounters in attempting to influence a change in the prison system add to the insecurity of his role.

Warren Bennis discusses these four conditions and adds a fifth: That is, the role of the change-agent is risky. The complexity of organizational change and some of its unanticipated consequences can lead to totally undesirable outcomes which may threaten the agent's professional status.[40]

It may be presumed that the change-agent experiences all of these conditions in varying degrees. If the existence of these conditions can be brought to the change-agent's awareness he should be in a better position to perceive emerging difficulties accurately.

The marginality of the change-agent's role is the most static of the conditions discussed and requires that his power to influence also come from outside the traditional power sources of a prison system.

The Change-Agent's Source of Power

As the change-agent role has been described as marginal, ambiguous, and insecure it is reasonable to assume that given certain stressful

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40. Warren G. Bennis, Changing Organizations, New York: Mc-Graw Hill, 1966, p. 148.

conditions he may also feel quite powerless. Often it may not be so much a case of his being powerless as it is that he is unable to identify the type of power he possesses.

Power, as discussed here, refers to the ability of the change-agent to influence a client system--in this case, the prison system. Several types of power to influence may be identified in terms of their source. For example, a prison superintendent may be said to possess coercive power because his influence on his staff is based on his ability to reward or punish them. Bennis and Schein refer to this as "line power" which comes to a person holding status in an organization which legitimizes his influence.[41]

Another closely allied type of "line power" is that which stems from institutional norms and practices. Bennis labels this as "legitimate or traditional power."[42] The change-agent may confront this type of power in any prison staff member he must deal with. The guard, or even the inmate may influence the change-agent because the prison is their "turf," the change-agent is an outsider, and their influence is legitimized by their role assignments and institutional tradition.

Both of these types of power are internally based and normally not possessed by the external change-agent. So if this is true that the change-agent has no power to reward or punish (no clout) and if his

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41. Warren G. Bennis and Edgar H. Schein, "Principles and Strategies in the Use of Laboratory Training for Improving Social Systems," in Bennis, et al. (eds.) The Planning of Change, New York: Holt Rinehart and Winston, Inc., 1969, p. 339.

42. Bennis, p. 168.

role is not considered legitimate by the prison system, what is the source, if any, of the power he does possess?

Bennis identifies three additional sources of power which are usually possessed in some degree by the change-agent: Referent power, expert power, and value power.[43] To the extent that the change-agent causes individuals to want to be like him, or to identify with him, he is said to have referent power. To the extent that the NewGate expert has special knowledge that he considers valuable to the prison system he has expert power. And finally, to the extent that the change-agent can express concern, be open and honest, and is able to be flexible, cooperative, and democratic, he has value power.

Obviously, these three power bases are not available exclusively to the change-agent. Any prison staff member may possess the referent, expert, and value resources described in addition to the two peculiar to his institutional position. It needs to be pointed out here that the strengths of these power types are not necessarily additive or cancellable by one another. That is, there is nothing static or consistent about their quality. For example, the most coercive prison warden may be influenced by one of his staff experts, an outsider with whom he identifies, or by a line officer who is consistently open and honest with him.

The importance of this discussion in terms of the NewGate change-agent is that he should recognize the domain of his influence and act appropriately. If the change-agent does not recognize the discrete qualities of his power he may, for example, act-as-though he has the power to reward or punish when in fact he has none. This is a particularly likely course of action

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43. Bennis, p. 168.

when all other efforts to influence a "stupid" prison warden have failed. There can be little debate over the possible consequences of this type of interaction.

On the basis of the change-agent's source of power various authors explore such themes as styles of influence and change-agent strategies. As each theme also has implications for predicting the consequences of chosen courses of action, a brief diversion into the various theories should have informative value to the NewGate change-agent.

Styles of Influence and Their Consequences

Herbert Kelman distinguishes three processes of social influence, each characterized by a distinct set of antecedent and consequent conditions. The antecedent conditions include both the change-agent's source of power discussed above, and the appropriate conditions necessary in the client-system for the change-agent's power to be effective. For example, the referent power of the change-agent is effective only to the degree that a client's personal needs require that he have a role model. Kelman calls these processes "compliance, identification, and internalization."[44]

Compliance

Often the NewGate change-agent will depart from a meeting with prison administrators with a great feeling of achievement. All participants

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44. Herbert C. Kelman, "Processes of Opinion Change," Public Opinion Quarterly, XXV, Spring 1961, pp. 57-78.

seemed eager to know about the NewGate model and excited about getting down to the business of proposal writing. But just as often, much to the change-agent's disappointment, the draft proposal that was to be sent to him for review and comments never arrives. This phenomenon is described by Kelman as compliant behavior. The eagerness and excitement of the prison warden was evidentally not a result of his belief in the content value of the NewGate model, but rather a desire to respond in a way that pleases the change-agent. The other participants, in turn, may have appeared eager out of a desire to act in accordance with the warden's responses and thereby please him.

The NewGate agent may unwittingly solicit this type of response, for example, by not making it clear that he does not represent a funding agency, or by not understanding the effects that a forerunning letter of introduction (from the Director of Correction) might have on his institution-administrator audience. Or, the eager response may simply represent the administrators' desire to be sociable--the change-agent, afterall, is a guest.

Kelman tells us that continuance of compliant behavior is contingent upon continued surveillance by the change-agent. That is, once the change-agent leaves, he takes with him the reasons his audience behaved as they did.

Identification

To the extent that a change-agent possesses personal and professional attributes that are desired by the client, the client's behavior will tend to take the form of identification. This process is most apt to occur in dealings with lower echelon prison administrators e.g., associate wardens or education department directors.

Often the NewGate agent will return to his office with the feeling that the warden seemed noncommital in his response to the NewGate model but his associate was a very likeable guy and appeared excited over the prospect of pursuing the program further. If, after a series of telephone conversations and correspondence exchanges between the agent and associate warden, the excitement begins to ebb and finally dies completely, we might suspect that the excitement of the associate warden was primarily a response of his identifying with the change-agent.

Kelman warns that, unless a change-agent is willing to spend a great deal of time continually reinforcing the clients desire to identify with him, that identification behavior will not continue over time.

Internalization

If the NewGate agent approaches prison administrators fully cognizant of his role limitations, power sources, and expertise a desirable response is most apt to represent the prison administrators' internalized commitment to the values of the program. Here the warden is favorable towards pursuing the possibilities of developing a NewGate program not because the change-agent has some form of power over him (compliance), and not because he identifies with the change-agent's personal or professional attributes (identification), but because the NewGate model appears to be useful to him in his prison operation. The warden's commitment to the NewGate program is internalized to the extent that the program design and goals reflects his own value-system.

Kelman sees internalized commitment as part of a personal system as distinguished from a system of social role expectations, and that such behavior gradually becomes independent of the change-agent's influence.

The change-agent role is an important factor in preparing the environment necessary for internalization to occur. Much, in this case, depends on the change-agent's selection of his own tasks.

Identifying the Change-Agent's Primary Tasks

The NewGate change-agent contacts people and prison systems very diverse from one another. The demands on the change-agent to be flexible seem to defy any attempt to adopt an approach appropriate to all situations.

However, in spite of this diversity and requirement for change-agent flexibility, basic processes do exist which are appropriate regardless of the substantive issues involved. These processes have their roots in the necessary conditions for effective change-agent activity. Argyris refers to these conditions as the basic requirements for intervention activity and lists them as (1) the generation of valid information, (2) the ability of the client to make free and informed choices, and (3) developing the clients internal commitment to the choices made.[45]

Fulfilling these conditions becomes the NewGate change-agent's primary tasks. These tasks are to be distinguished from his goal of developing new programs based on the NewGate model. Where the goal by itself represents the desired "ends" of the agents efforts it ignores the importance of specifying the "means" by which the ends are to be achieved. The selection of primary tasks recognizes the means-ends relationship and implies a specific course of change-agent activity.

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45. Chris Argyris, Intervention Theory and Method, Reading, Mass.: Addison-Wesley Publishing Company, 1970, p. 17.

Valid Information: The NewGate change-agent may interpret the need for valid information to mean that he must only present (clearly and accurately) the design, components, and goals of the NewGate model. But this is only part of the necessary information. He must also solicit information about the prison system--its design, components, and goals. What are the institution's priorities? Treatment? Custody? State-Use Industries? What other programs are available to inmates? Vocational training? Correspondence courses? High School? Does the institution participate in the work or study release program? What is the education level of the guard force? How much space could be available for the education program? How many inmates could be freed from their institution assignments to participate in the program? The answers to these questions produce valid information--information relevant to making informed choices about the suitability of the NewGate model to the institution's operation.

Free and Informed Choice: Free choice places the responsibility of decision-making on the prison administrators. The choices made are informed choices to the extent that valid information is produced. The change-agent's task here is to assure the administrator's freedom of choice. The combination of valid information and free choice allows the prison administrators to explore a great number of available alternatives and choose as many as they consider significant or central to their needs. In this way, the prison administrators themselves can define how they would intend to develop and use the NewGate program in their institution. The importance of free choice is also reflected in Argyris' statement that "effective intervention in the human and social spheres

requires that the process of help be congruent with the outcome desired."[46] *Free choice requires that the prison administrator assume responsibility for the choices or decisions he makes. If he does assume this responsibility, and if the change-agent allows him this autonomy, the administrator will own the decisions he makes. The decisions will be made on the basis of an internal commitment to the content value of the NewGate model.*

Internal Commitment: Argyris tells us that internal commitment means that an individual "...has reached the point where he is acting on the choice because it fulfills his own needs and sense of responsibility, as well as those of the system."[47]

The prison administrator who has developed an internal commitment to the concepts of the NewGate model has made free and informed choices based on having processed valid information. Under these conditions, Argyris says, "...there is a high probability that the individual's commitment will remain strong over time, or under stress, or when the course of action is challenged by others," and that "it also implies that the individual is continually open to re-examination of his position because he believes in taking action based upon valid information."[48]

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46. *Argyris, p. 19.*

47. *Argyris, p. 20.*

48. *Argyris, p. 20.*

To this point the change-agent's most-likely-effective source of power, value power, has been discussed. Additionally he may have expert power, and to some degree, referent power. Styles of influence (compliance, identification, and internalization) have been examined, and internalization has been identified as the most effective, most independent and most lasting. The change-agent's primary tasks should maximize the use at his value power, accommodating his expertise (expert power), diagnostic ability, and knowledge to his role of assisting in the generation of valid and useful information, and helping the client to make free and informed choices. These two primary tasks make the conditions optimal for the client to develop internal commitment to the choices he has made.

To sum up, the change-agent's most valuable resource is his value power--in our case, having a thorough working knowledge of the potential value of the NewGate model for any given institution setting, being open and honest about that potential, and expressing understanding of the institution's priorities even though they may conflict with NewGate suppositions.

The change-agent's style, based on his value power should be congruent with his goal of developing the prison administrator's internalization of NewGate ideals. The importance of the change-agent role has been examined in some detail. Identifying the change-agents primary tasks point out the importance of accommodating the change-agent role to the content of the change proposition. The ability of the change-agent to adhere to his primary tasks in the face of resistance and hostility reflects his own degree of commitment to the ideals of the NewGate model.

We have discussed the problem, power sources, styles and tasks of the change-agent in his effort to develop new programs of higher education for offenders based on the NewGate model. We also have a picture of the model itself (from Section One) as it has operated successfully in a prison setting. What is left now is to analyze the model and the change-agent role in terms of the resistance they are apt to encounter from a prison system, and as they relate to the potential for the development of new NewGate type programs.

Prison Resistance to the NewGate Model and Change-Agent

Goodwin Watson, a social psychologist discusses a number of resistances to change that can be generalized to most social systems. The prison, as a social system, has its own norms, need for system coherence, vested interests, some semblance of what appears to be sancrosanct, and a natural rejection of outsiders.[49]

Prison System Norms: As one enters a prison the uniformity of dress, hair-length, forms of address (usually Mr.) are at once obvious. The custodial staff arrive fifteen minutes before the previous shift is due to terminate their days work. The wardens office is usually not visible from the main entrance to the building, and is generally guarded by a stern secretary. The warden's administrative assistants wear sport jackets or suits. Ranking officers generally wear tailored uniforms to support their gold lieutenant or silver sergeant stripes. Line officers

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49. Goodwin Watson, "Resistance to Change," in Warren Bennis et al. (eds.), The Planning of Change, New York: Holt, Rinehart and Winston, Inc., 1969, pp. 488-497.

generally wear uniforms which in any man's army would be 20 years out of date. Prison industries supervisors normally wear tan or grey uniforms of cotton twill while the treatment department personnel sport white-shirts and ties with conservative sport dress. Inmates wear the same clothing, get up at the same time, eat at a scheduled time, work during specific times, and have their lights turned out for the night at a set time.

Groups of individuals are expected to be in certain places at certain times. This regimentation allows people to work and live together in an orderly fashion and establishes what may be called prison norms. A change at any point in this system in terms of time schedules, dress, or "normative" activity produces a disruption in all other parts.

To relate the nature of prison norms to resistance to the NewGate program, imagine a mod-dressed staff of university professors coming in five or ten minutes late or early, requiring students to spend a few extra minutes in class or study later than institution lighting regulations permit. In addition the professor may want to take 50 political science term papers (discussing "violent revolutions") home with him for grading--loudly objecting to the demands of the institution censor. The NewGate program is a threat to correctional institution norms.

Need for System Coherence: Closely alligned to prison norms is the need for system coherence. Tightly run organizations, like the prison, have developed or evolved a system of role interdependencies which, while being effective as a method of operation under regular conditions, are vulnerable to change.

For example, installing a modern sewing machine in the prison garment factory: Nine men have been replaced by the modern time saver. Two of the nine may transfer to the furniture factory, two to the license plate factory, two to the laundry. All transfers have been acted on by the prison classification committee and block sergeants have re-entered the inmate work-assignments on their roster. In order to place the remaining three men on jobs, the classification committee may need the warden's approval for making three additional assignments to minimum security (outside the walls) jobs such as grounds maintenance or farming.

The NewGate program, accepted intoto, would require that a number of men be released from institutional work duties and assigned full-time to a non-productive educational program. Resistance to the NewGate program can be predicted from its nature of disrupting the system's need for coherence.

Vested Interests: Though much resistance can be anticipated from prison authorities who must invest time and money in a NewGate program that may yield no monitary returns, yet another vested interest may produce more resistance--the prestige interests of prison employees and inmates.

The educational level of prison guards has traditionally been low. Most states have not required even a high school education. The guard forces have managed to maintain some sense of prestige from the fact that they had educational equivalence to the inmate population and additionally had institutionally-legitimized authority over the inmates.

The prestige positions held by inmates have traditionally been the "solid cons" and "politicians."[50] Solid cons are usually long-termers who hold the respect of other inmates because they are intelligent, good organizers, and trusted because of their adherence to the "convict code." "Politicians" generally control the inmates access to "classified" information. They usually are clerks or assistants to lower-level prison administrators, and are able to relay information to inmates (such as new job assignments, custody reductions) that may take weeks by normal channels. Adding to the prestige of their position in the inmate community is their visible association with "free people" such as parole board members, legislators, student tours, and perhaps the Governor may even say "hello" to them.

If a NewGate program were to be implemented, guards would be forced to recognize a group of inmates who had a superior education (and a free one at that!). Politicians would no longer control inmate access to free people and the latest information. Solid cons would no longer be the most respected for their intelligence. The NewGate program will be resisted because it threatens the vested interests of inmates and employees alike.

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50. Clarence C. Schragg, Social Types in a Prison Community, unpublished masters thesis, University of Washington, 1944.

The Sacrosanct: The religious history of our correctional institutions is reflected in the term "penitentiary" (from "penitence"). Though a formalized religious program may no longer be the predominant treatment priority of a correctional institution, the early Protestant notion of hard and honest work, developing good work habits, and adding a fair portion of play and reading time still dominates the day-to-day picture of prison operation.

The NewGate model advocates a full-time program of college study with no responsibilities for institutional maintenance or other work assignments. Additionally, the normal literature that a student is required to read for a course in english composition contains words and thoughts that, if spoken by an inmate to a guard, could constitute grounds for a disciplinary action. NewGate threatens the prison sancrosanct.

Rejection of Outsiders: The NewGate program comes to the prison from "outside." The experts come to tell prison administrators what NewGate is all about, and if implemented, outside University personnel will operate the program. Outsiders traditionally arouse suspicion, antagonism, or hostility in some degree whenever they propose change. We all experience this phenomenon to some extent when an aggressive insurance salesman comes into our home and tells us what we need to protect our futures. The NewGate change-agent is almost certain to encounter the NIH (not invented here) phenomenon when discussing the merits of the program with prison administrators.

Summary: So, in addition to the problems inherent in the change-agent role, and in selecting an appropriate style and primary task, the general issue of resistance has been discussed separately from both the change-agent role and the merits of the NewGate model.

The issues that have been raised in discussing each of these topics, though primarily with a negative orientation, provide the basis for examining what is needed in the area of effectively creating change.

The Necessary Elements for Developing Prison Commitment to the NewGate Model

Warren Bennis offers a list of "necessary elements in implementation" which recognizes the interrelationship of the "client system," the "change effort," the "change program," and the "change-agent."[51]

The Client System: The prison administrators should have as much understanding as possible of the NewGate program and its predicted consequences for both the prison management and the inmates. The administrators should also have as much influence in developing and controlling the fate of the NewGate program as possible. Prison administrators must trust the NewGate change-agent.

The Change Effort : The efforts necessary to develop and implement a NewGate program should be perceived as being self-motivated and voluntary on the part of the prison administrator. This can be accomplished through the legitimization and reinforcement (but not demands) of the NewGate program by central department correctional administrators or by significant reference groups adjacent to the prison system e.g., the university, civic or business organizations.

51. *Bennis, p. 176.*

The Change Program: The NewGate program must be presented in such a way that it can be seen to have emotional value as well as cognitive (informational) elements. As has been pointed out in the early discussions of this section, it is doubtful that rational persuasion (expert power) is sufficient to excite prison administrators to action. Too often, Bennis states, "...rational elements are denied or rendered impotent because they conflict with a strongly ingrained belief, consciously or unconsciously held." "intellectual commitment" ...he adds "...is a first step, but not a guarantee to action."[52]

The Change-Agent: If the NewGate change-agent adheres to his primary tasks he will be crucial in reducing the prison administrator's resistance to the NewGate program. Bennis insists that "...the quality of the (agent-client) relationship is pivotal to the success of the change program."[53] As long as the change-agent acts congruently with the proposed value of the NewGate program, and as long as both the change-agent and prison administrator have opportunity to evaluate their motives, the change-agent should be able to provide the support and climate necessary for the prison administrator to develop commitment to the NewGate program ideals.

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52. Bennis, p. 176.

53. Bennis. p. 176.

Conclusion:

This section has exposed a number of issues relating to the development of new programs of higher education for offenders patterned after the NewGate demonstration model. These issues have been predominantly centered around the role of the NewGate change-agent and his relationship to the prison system in this development process. These are certainly not all of the issues involved but they are of central concern and do provide for an inspection of general change theory in terms of a specific instance--in this case, the NewGate program.

Additional concerns not discussed in this paper, would include the issues of funding and research. Large single-source federal funding for programs of this nature is becoming scarce. Such large grants as are available are saved for demonstration programs, not program operation. The revenue-sharing policy of the current federal administration places much of the available federal discretionary money in the hands of individual states. Here, the NewGate program would compete with other state correction priorities of institution construction and remodeling, and treatment programs that may cost less and be applicable to a larger number of inmates.

A major drawback to effectively presenting valid information on the NewGate program is that it has been inadequately researched. The only evaluations of NewGate projects have been after-the-fact and based on the effectiveness of the Project achieving its states goals--goals which were never clear. One measure of effectiveness is typically to what degree the program manages to reduce the institutions normal rate of recidivism. The problem here is that nobody seems to agree

on how recidivism is measured. Applied nationally, recidivism figures have almost no utility.

In summary, until social systems actively seek out effective demonstration projects for adoption, the change-agent will continually have to come to terms with the issues presented in this report.

APPENDIX A

Fourth Quarter 1973

and January 1-31, 1974

Man/Day Report

APPENDIX A

NCCD NEWGATE RESOURCE CENTER
Man/Day Report

Field Staff		*R. Herron & J. Muir*
		Fourth Quarter, 1973 plus January 1974
*Field Days**		*66*
Technical Assistance	*(29)*	
Resource Identification	*(11)*	
Visits to Existing NewGate Programs	*(5)*	
NewGate Quarterly Meetings	*(11)*	
Racine Conference	*(10)*	
Office Days		*112*
Newsletter Production	*(11)*	
Article Publication	*(2)*	
Directory Maint. & Publication	*(0)*	
Correspondence, Writing & Phone	*(50)*	
Planning & Evaluation	*(31)*	
Final Report	*(18)*	
Vacation		*10*
Sick Leave		*4*
	TOTAL	*192*

APPENDIX B

Fourth Quarter 1973

Financial Report

GRANTEE QUARTERLY FINANCIAL REPORT

(OEO Instruction 6807-2)

Reports Control Symbol 6807-1

Reserved for OMB Approval

NAME OF GRANTEE	PROGRAM YEAR FROM	PROGRAM YEAR TO	GRANTEE NO.	Report Quarter Ended MONTH	Report Quarter Ended YEAR
National Council on Crime and Delinquency	8/1/72	12/31/73	20045	12	73

(TYPE or PRINT legibly all entries in spaces provided.)

SECTION	LINE ITEM	DESCRIPTION	AMOUNT (in whole dollars) CURRENT
I. SOURCE OF OEO GRANT FUNDS	1.	BROUGHT FORWARD FROM LAST QUARTERLY REPORT *(Line 10)*	131
	2.	WITHDRAWALS FROM LETTER OF CREDIT	26949
	3.	AMOUNT OF CHECKS RECEIVED FROM OEO	--
	4.	MISCELLANEOUS PROGRAM INCOME *(Exclude interest earned on Federal Funds.)*	--
	5.	SUBTOTAL OEO FUNDS *(Add Lines 1 thru 4)*	27080
II. APPLICATION OF OEO GRANT FUNDS	6.	TOTAL FEDERAL EXPENDITURES *(Column 2, OEO Form 315a)*	27080
	7.	EXPENDITURES OF MISCELLANEOUS PROGRAM INCOME	--
	8.	FUNDS RETURNED TO OEO *(Exclude interest earned on Federal Funds)*	--
	9.	SUBTOTAL OEO FUNDS APPLIED *(Add Lines 6 thru 8)*	27080
III. UNEXPENDED OEO FUNDS AVAILABLE	10.	UNEXPENDED OEO FUNDS AVAILABLE *(Line 5 minus Line 9)*	--
	11.	CASH ON HAND	--
	12.	PROJECTED CASH NEEDS FOR NEXT QUARTER	--

COMMENTS

CERTIFICATION BY GRANTEE

I hereby CERTIFY that this financial report is true in all respects and that all expenditures have been made solely for the purposes set forth in the application for the grant as approved by the Office of Economic Opportunity.

NOTICE: *The information called for on this form relates to the expenditure of and accounting for federal grant funds and matching non-federal contributions and must be submitted to or held for inspection by an agency of the United States. The furnishing of false information may be punishable by fine or imprisonment or both under U. S. Code, Title 18, Section 1001.*

TYPED NAME AND TITLE OF PERSON PREPARING REPORT	SIGNATURE	DATE
Irwin Skolnick, Controller	Irwin Skolnick	1/31/74
TYPED NAME OF STAFF DIRECTOR	SIGNATURE	DATE
Rex Herron, Director	Rex Herron	1/31/74

OEO FORM 315 (Test) AUG 71 REPLACES CAP FORM 15, DATED FEB 68 WHICH MAY BE USED UNTILL JAN 72. GSA DC 72-3336

GRANTEE QUARTERLY FINANCIAL REPORT - SUPPORT DATA SHEET

(Report in whole dollars ONLY.)
(OEO Instruction 6807-2)

1. NAME OF GRANTEE: National Council on Crime and Delinquency

2. For Quarter Ended — MONTH: 12 — YEAR: 73

Grantee No.: 2 0 0 4 5

Reserved for OMB Approval

REPORTS CONTROL SYMBOL 6807-3

FUNDS SOURCE CODE	PROGRAM ACCT. NO.	EXPENDITURES THIS PERIOD		CUMULATIVE EXPENDITURES		MINIMUM NON-FEDERAL SHARE		FEDERAL RESOURCES AVAILABLE (OEO)	ESTIMATED UNEXPENDED (OEO) FUNDS
		FEDERAL (OEO)	NON-FEDERAL (OEO)	FEDERAL (OEO)	NON-FEDERAL (OEO)	%	AMOUNT		
1.		2.	3.	4.	5.	6.	7.	8.	9.
F	11	11576		136644				122596	(14048)
F	12	1118		13359				13625	266
F	13	3300		7475				7000	(475)
F	20	2525		55299				66900	11601
F	23	992		8015				12000	3985
F	25	1006		9774				6700	(3074)
F	31	---		5787				7770	1983
F	24	2057		10345				15000	4655
F	29	4506		53251				48358	(4893)
TOTAL		27080		299949				299949	---

86

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OEO FORM 315a (Test) REV. JAN 72 PREVIOUS EDITIONS ARE OBSOLETE.

GPO 922-343

APPENDIX C

Fourth Quarter 1973

plus January 1974

CONTACT REPORTS
(Numerical Summary)

CONTACT REPORTS

Appendix C Summary

(Numerical Accumulation)

STATE	TO JUNE 30, 1973				TO SEPTEMBER 30, 1973					TO DECEMBER 31, 1973				
	In Person	Telephone	Letter	Total	In Person	Telephone	Letter	Total	Quar. Tot. (Diff.)	In Person	Telephone	Letter	Total	Quar. Tot. (Diff.)
Alabama	6	2	14	22		11	17	35	13	*1*	*4*	*3*	*8*	
Alaska	2	0	11	13		3	11	16	3	*0*	*0*	*2*	*2*	
Arkansas	6	2	7	15	7	5	7	19	4	*1*	*3*	*7*	*11*	
Arizona	12	21	19	52	15	32	27	74	22	*9*	*12*	*8*	*29*	
California	68	38	126	232	84	68	142	294	62	*27*	*3*	*18*	*48*	
Colorado	23	44	27	94	23	57	28	108	14	*18*	*2*	*7*	*27*	
Connecticut	9	12	20	41	51	22	29	102	61	*5*	*9*	*6*	*20*	
Delaware	14	10	11	35	14	13	11	38	3	*1*	*1*	*2*	*4*	
D. C.	42	59	58	159	46	73	63	182	23	*9*	*19*	*3*	*31*	
Florida	55	6	23	84	60	20	30	110	26	*2*	*2*	*3*	*7*	
Georgia	54	2	30	86	55	15	32	102	16	*0*	*5*	*6*	*11*	**90**
Hawaii	3	0	3	6	3	1	3	7	1	*0*	*0*	*2*	*2*	
Idaho	7	7	11	25	7	8	11	26	1	*0*	*2*	*2*	*4*	
Illinois	69	52	73	194	103	67	73	243	49	*10*	*7*	*9*	*26*	
Iowa	10	1	16	27	11	6	17	34	7	*2*	*1*	*2*	*5*	
Indiana	11	19	31	61	12	26	33	71	10	*7*	*6*	*12*	*25*	
Kansas	3	3	15	21	4	6	15	25	4	*0*	*2*	*2*	*4*	
Kentucky	42	35	31	108	42	39	31	112	4	*1*	*4*	*7*	*12*	

CONTACT REPORTS

Appendix C Summary
(Numerical Accumulation)

STATE	TO JUNE 30, 1973				TO SEPTEMBER 30, 1973					TO DECEMBER 31, 1973				
	In Person	Telephone	Letter	Total	In Person	Telephone	Letter	Total	Quar. Tot. (Diff.)	In Person	Telephone	Letter	Total	Quar. Tot. (Diff.)
Louisiana	1	0	8	9	3	3	8	14	5	0	2	2	4	
Maine	8	16	20	44	8	19	20	47	3	1	3	2	6	
Maryland	19	21	36	76	34	32	40	106	30	9	8	7	24	
Massachusetts	5	23	27	55	9	33	32	74	19	12	8	17	37	
Michigan	13	22	22	57	19	38	27	84	27	9	11	13	33	
Mississippi	3	2	4	9	5	3	5	13	4	0	0	2	2	
Minnesota	15	1	11	27	16	4	11	31	4	5	9	5	19	
Missouri	6	0	21	27	7	9	24	40	13	2	9	7	18	
Montana	7	8	26	41	11	9	31	51	10	1	2	2	5	
Nebraska	1	7	10	18	1	11	12	24	6	0	3	2	5	
New Hampshire	4	4	10	18	6	8	12	26	8	2	3	6	11	
New Jersey	208	181	122	511	247	204	133	584	73	15	18	14	47	92
New Mexico	43	15	12	70	43	16	12	71	1	2	8	3	13	
New York	51	72	59	182	71	109	72	252	70	10	5	14	29	
Nevada	4	0	7	11	8	1	7	16	5	1	1	1	3	
North Carolina	17	10	11	38	20	20	14	54	16	2	5	6	13	
North Dakota	5	2	6	13	5	4	8	17	4	2	2	2	6	
Oklahoma	51	8	45	104	53	17	45	115	11	15	4	8	27	

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CON[illegible]T REPORTS
Appendix C Summary
(Numerical Accumulation)

STATE	TO JUNE 30, 1973				TO SEPTEMBER 30, 1973					TO DECEMBER 31, 1973				
	In Person	Telephone	Letter	Total	In Person	Telephone	Letter	Total	Quar. Tot. (Diff.)	In Person	Telephone	Letter	Total	Quar. Tot.
Ohio	23	10	35	68	32	29	40	101	33	*18*	*7*	*12*	*27*	
Oregon	65	49	36	150	85	62	51	198	48	*4*	*7*	*7*	*18*	
Pennsylvania	79	85	62	226	83	102	68	253	27	*17*	*3*	*13*	*33*	
Rhode Island	2	3	10	15	2	7	12	21	6	*4*	*5*	*2*	*11*	
South Dakota	6	1	6	13	6	2	6	14	1	*8*	*9*	*7*	*24*	
South Carolina	14	5	21	40	14	20	22	56	16	*0*	*1*	*1*	*2*	
Tennessee	30	37	42	109	31	43	46	120	11	*0*	*2*	*5*	*7*	
Texas	41	23	58	122	48	40	62	150	28	*0*	*1*	*1*	*2*	
Utah	2	4	9	15	2	5	9	16	1	*0*	*2*	*6*	*8*	
Vermont	1	2	5	8	1	4	5	10	2	*0*	*0*	*1*	*1*	
Virginia	2	13	35	50	7	20	37	64	14	*1*	*0*	*3*	*4*	
Washington	53	11	44	108	84	24	52	160	52	*15*	*11*	*18*	*44*	
West Virginia	9	7	29	45	10	11	31	52	7	*3*	*3*	*7*	*13*	
Wisconsin	45	21	36	102	50	30	40	120	18	*11*	*6*	*12*	*29*	
Wyoming	0	1	5	6	0	3	7	10	4	*0*	*1*	*2*	*3*	
Canada	0	0	16	16	3	0	18	21	5	*0*	*0*	*1*	*1*	
Puerto Rico	0	0	2	2	0	0	2	2	0	*0*	*0*	*0*	*0*	
TOTAL	1,269	977	1,434		1,570	1,413	1,601		905	*262*	*241*	*302*	*815*	
			GRAND TOTAL	3,680			GRAND TOTAL	4,585					*GRAND TOTAL*	*5,400*